CALIFORNIA SECRETARY OF STATE
BUSINESS PROGRAMS AUTOMATION PROJECT

UCC XML
IMPLEMENTATION GUIDE

December 2008

TABLE OF CONTENTS

1. Introduction

This document, the UCC XML Implementation Guide, provides an overview of the XML (eXtensible Markup Language) options available to California Secretary of State (SOS) customers. XML is used to file documents and search information electronically over the Web.

This Guide provides instruction on XML, the options available, as well as essential information required to initiate XML transactions. Finally, this document provides the technical information necessary for a customer to implement XML transactions within his or her own technical environment.

1.1   Who Should Use This Guide?

This Implementation Guide is to be used by customers who intend to use XML to file documents or search records electronically from a remote location. If you intend to receive bulk orders from the SOS, please refer to the UCC Bulk Order Implementation Guide for the relevant information.

Since this document is intended primarily as a technical guide, it provides general details on XML. Additionally, it provides some functional details regarding the process and requirements for setting up XML. The remainder of the document is technical in nature, providing specific details on the data structures and formats of XML. It is assumed that users of this document have, or have access to others that have, a certain level of technical knowledge. Consequently, this Guide does not provide fundamental instructions on topics such as internet-based applications and specific formats.

1.2   What is XML?

XML is an eXtensible Markup Language derived from the Standard Generalized Markup Language (SGML). Among its many purposes, XML is designed to make it easy to share and transmit documents across the Web. XML and SGML are text-based formats that are easy to read and edit using standard text-editing tools. XML is commonly referred to as an extensible, platform independent, and fully Unicode compliant language. It is called extensible because it is not a fixed format like HTML. XML is not tied to any programming language, operating system, or software vendor. It is actually a 'metalanguage' (a language for describing other languages) that lets you design your own customized markup languages for different types of documents.

At SOS, XML is being used to allow customers to file documents or to order and receive information (search records) electronically from a remote location. Customers can use XML to interact with SOS in the following ways:

- By logging into UCC Connect to upload and download records using XML
- By using automated exchange via the web

Both of these options are described below.

2. Electronic filing of XML using UCC Connect

This section describes how to access and use the SOS web application, UCC Connect, to upload XML documents and download XML response documents once SOS processing is completed.

2.1 Browser Prerequisite

Accessing UCC Connect requires Internet Explorer version 5.x or Netscape Navigator version 6.x or greater. No specific service packs are required.

2.2 Login Page

Customers will be required to log into the application using a Customer Account (User ID) and password, which will establish a secured connection and validate the customer's identity. Once logged in, customers will only have access to their own account information.

2.3 Upload Page

The upload page will allow customers to browse their PC, select a file (which has been formatted as an XML document containing UCC filings or UCC searches), and submit this file to the CA SOS for processing.

2.4 Refusal at Upload

Once the XML document has been successfully received, the SOS system will validate the document against the Document Type Definition (DTD). As part of the validation process, the system will do the following:

- Check that the document is well formed with respect to the DTD
- Validate the document against the DTD
- Check data types and data elements to be sure they do not exceed maximum lengths
- Verify that the Filer Name is provided (Organization or Individual Last name)
- Verify that the version of DTD used for the XML file corresponds to the version accepted by SOS
- Verify that the ClientAccountNum Element in the XML document corresponds to the Customer Account (User ID) assigned by the SOS office
- Check PacketNum to be sure it is unique for the customer to prevent accidental duplicate submissions. Previously refused PacketNums will not be included in the validation process.
- Check for required data elements (ClientAccountNum, PacketNum, ContactEmail, Test)
- Check the XML document does not exceed the maximum file limit size

Please note, if the document fails ANY of the above validations, the ENTIRE XML document file will be REFUSED. When a document is refused, the system will retain a record of the document. If errors are detected, a refusal error message will be displayed on the processing page to assist the customer in identifying the problem so that the document

can be corrected and resubmitted. XML file refusal occurs when the file does not meet the technical rules. Refer to Appendix C for a complete list of XML file refusal error messages.

If the XML document passes the validations listed above, it will be accepted for processing. Once all the transactions in the XML document are processed, the SOS system will generate an XML acknowledgement document and send an email notifying the customer to download the file.

2.5   Status Download Page

Once a response file has been generated by SOS, it will be available on the Status Download Page for download. For filings that are accepted by SOS, the acknowledgement file will contain the filing number and filing date. If the filing has been rejected by SOS, the acknowledgement will contain the date and time the filing would have been filed and the rejection description. Refer to Appendix D for a complete list of XML file rejection error messages.

The customer can download the acknowledgment. It is the responsibility of the customer to check the status download page FOR EACH AND EVERY SUBMITTED XML DOCUMENT to make sure that the XML document has been processed and acknowledged. Acknowledgments will be available for download online for 30 days.

2.6   Viewing Historical Transactions

The SOS Web application will allow customers to view and search for XML documents previously submitted for processing regardless of whether the document was filed using the UCC Connect or Automated Exchange.

3.   Using Automated Exchange

Automated Exchange is the process used by a customer's application and the SOS to exchange XML documents in an automated fashion.

Customers interested in automating the XML document exchange between their organization and SOS will need to create an application. The application will be used to submit the XML document to the SOS. The SOS will then send the XML acknowledgement document to the customer via their application.

Customers will also need web application hosting capabilities to implement the automated exchange. The design and implementation of the application will be the responsibility of the customer.

3.1   Submission and Response

The following diagram describes the data exchange process that takes place when the customer application interfaces automatically with the SOS system.

XML Automated Data Exchange

In Session

a. Submission of XML document: Provides (Type of File, Customer Id, Password, XML Data)

b. Receipt Document: Provides (Return Customer Id, Password and Receipt XML Data)

FILER

c. Response Document: Provides (Return Customer Id, Password and XML Response Data)

SOS

d. Status Request: Provides (Return Customer Id, Password and XML Status Data)

e. Status Receipt: Provides (Return Customer Id, Password and XML Status Return Data)

f. RE-SEND XML Response: Provides (Return Customer Id, Password and XML Status Return Data)

In Session

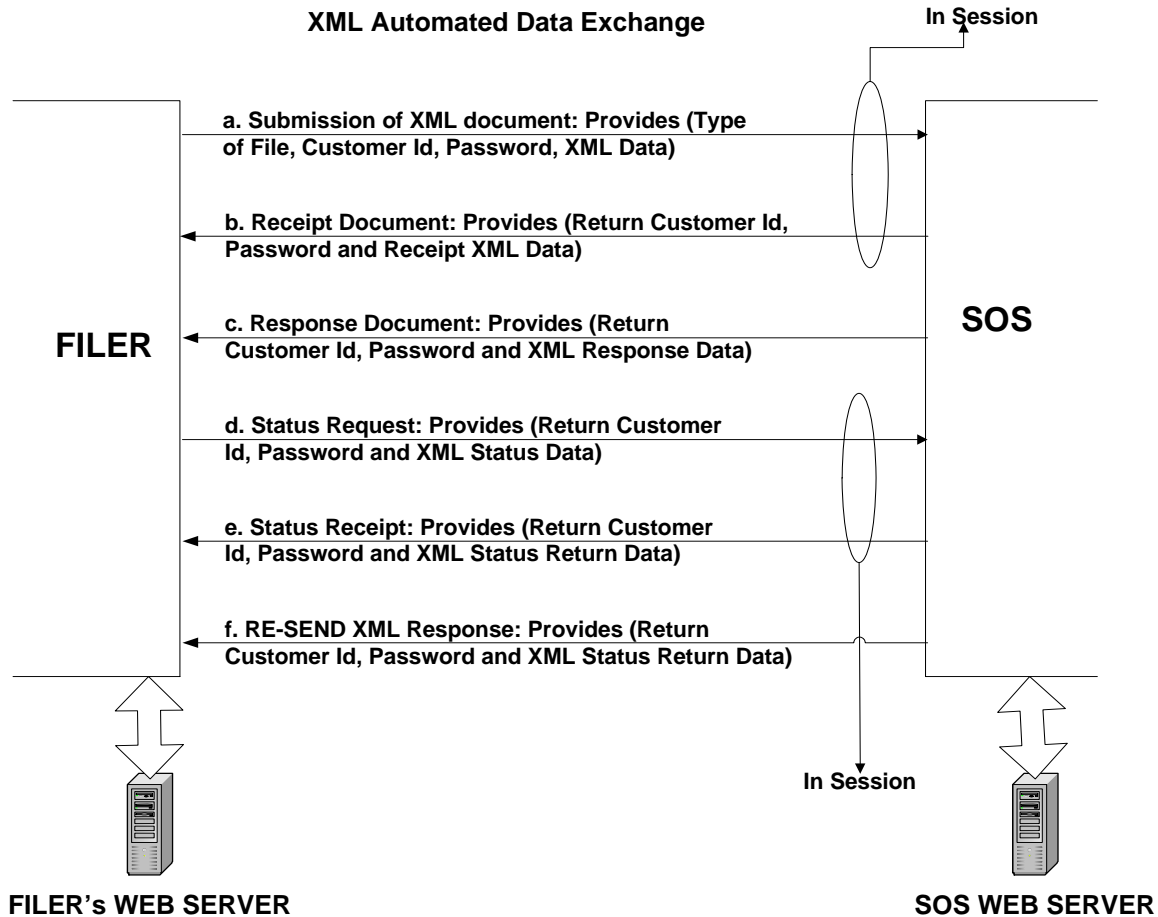**FILER's WEB SERVER**

SOS WEB SERVER

Figure 3.1 – Data Flow Between Customer/Filer and the SOS

This exchange automates the entire process of sending XML documents and receiving XML responses. This process flow is as follows:

a. The XML Data is sent via the HTTP POST Method to the SOS system along with the customer information. Please note that the SOS system expects the XML document in the POST body and there is no specific variable in which it needs to be passed. The customer's application passes the following information in the HTTP query string:

- Type of File (Variable name – TypeOfFile and acceptable values will be Filing, Order)
- SOS provided Customer Id (Variable name – CustId)
- Customer Password (Variable name – CustPwd)

An example of a call from the customer's application to provide the XML Document is as follows:
https://<SOSURL>/UCC_XML/UCC_XML_FileUpload.asp?TypeOfFile=<param1>&CustId=<param2>&CustPwd=<param3>

NOTE: The customer identification number and customer password must be encoded.

The asp page contains logic to then validate the XML Data against the XML DTD. The system will parse the header for business validations.

b. Once the validations are completed on the XML Data, the SOS system will provide the Receipt XML Data to the return URL (via HTTP POST). The SOS system will then convert the XML Data into a file and deposit the file for processing.

c. Once the XML file is processed, the SOS XML application will pass the XML Response Document to the customer's web page.

d. Customers can send a Status Request regarding the status of the XML document that they have previously submitted for processing. The XML Data is sent via the HTTP POST Method to the SOS system. Please note that the SOS System expects the XML Status Request document in the POST body and there is no specific variable in which it needs to be passed.

An example of a call from the customer's application for a Status Request Document is as follows:
https://<SOSURL>UCC_XML/UCC_XML_FileStatus.asp?CustId=<param1>& CustPwd=<param2>
- SOS provided Customer Id (Variable name – CustId)
- Customer Password (Variable name – CustPwd)

e. On receipt of a Status Request from a customer, the SOS system will provide the Return Status Document.

f. On receipt of a Status Request from a customer, the SOS system will also resend the XML Response Document, if the XML file has already been processed.

Note: When the Status Request is made, the system will Post the Data to the return URL provided in the Status Request and will not use the return URL of the XML document previously deposited.

3.2   Refusal at Entry Point

Once the XML document has been successfully received, it will be validated. As part of the validation process, the system will do the following:

- Check that the document is well formed
- Validate the document against the DTD
- Check data types and data elements to be sure they do not exceed maximum lengths
- Verify that the Filer Name is provided (Business or Individual Last name)
- Verify that the version of DTD used for the XML file corresponds to the version accepted by SOS
- Verify that the ClientAccountNum Element in the XML document corresponds to the Customer Account (User Id) assigned by the SOS office

- Check PacketNum to be sure it is unique for the customer to prevent accidental duplicate submissions. Previously refused PacketNums will not be included in the validation process.
- Check for required data elements (ClientAccountNum, PacketNum, ContactEmail, Test)
- Check the XML document does not exceed the maximum file limit size

Please note, if the document fails ANY of the above validations, the ENTIRE XML Document will be REFUSED. If the document is refused, the system will retain a record of the document. If errors are detected, the SOS system will create a Receipt Document with the refusal message of "Invalid XML file". To view the specific refusal reason(s), the customer can go to the transaction history page on UCC Connect to view XML files with a file status of, "File Refused". Clicking on the link will reveal the reason(s) why the file was refused. Please refer to Appendix C for a list of XML file refusal error messages.

If the XML document passes the validations listed above, the XML document will be accepted for processing. The SOS system will create the Receipt Document with the status of OK.

3.3   HTTP POST Limitation

The HTTP POST method is used to submit and receive the XML data using an automated process that has limitations. The SOS system will not accept an XML document greater than 1 MB.

Customers wanting to submit files greater than 1 MB, but less than 2MB, will need to use UCC Connect to upload the file for processing.

3.4   Viewing Historical Transactions

The XML Status Download page in UCC Connect allows customers to view and search for any XML document previously submitted for processing regardless of whether the document was filed using UCC Connect or using the Automated Exchange. XML files that have been refused can be accessed, and the refusal reason(s) viewed. Under File Status, "Ready for pickup" are XML files containing either acknowledgements (stating "accepted" and the time and date of filing), or XML files containing rejection error messages. XML files will be rejected when the document does not satisfy the business rules. Please refer to Appendix C for a list of XML file rejection error messages.

4.   Initiating XML Transactions

The following documents are available for download from the HELP section of the website at https://uccconnect.sos.ca.gov

- UCC XML Implementation Guide
- XML Frequently Asked Questions (FAQs)

To initiate XML transactions, please contact the UCC Support Center:

Telephone:	(916) 651-9885
Email:	Uccconnect@sos.ca.gov
Mail:	CA Secretary of State
	UCC Support Center
	1500 11th Street, 2nd Floor
	Sacramento, CA 95814

4.1   Testing XML Transactions

SOS encourages customers to test their automated exchange applications prior to submitting documents in production using XML. The SOS provides a testing environment for this purpose. Upon receipt of a signed UCC Testing Agreement (refer to appendices of the UCC XML Implementation Guide), the UCC Support Center will provide a Customer Account number, password, and URL for testing.

Note: In the XML document Header Record the Data Element must be set to Test=Yes.

The purpose of testing is to ensure compliance with applicable standards established by the SOS and to facilitate a successful file transfer process. The SOS has designed four DTDs that are available for download from the XML Requests section on the HELP tab UCC Connect:

- Filings
- Orders
- Status
- Receipt

4.2   Using XML in Production

To use XML in production, the following is required:

- A signed UCC Data and Images Agreement (signed prior to testing). The Agreement remains in effect until the terms are changed by the SOS or it is cancelled by either party.
- A UCC Customer Account in Production enabled for XML

Payment options for filing XML are a pre-funded customer account or Automated Clearing House (ACH). If you are interested in using ACH please contact the UCC Support Center for more information.

The UCC Support Center will create a Customer Account.   The Customer Account number, password, and production URL will be sent to the customer.

Note: In the XML document Header Record the Data Element must be set to Test=No.

5. File Guidelines

5.1 File Size

Large files may cause processing and response times to increase. Also, there may be a problem with sessions timing out. Customers should limit the file size of attachments to 300 kilobytes (kB), and the overall file size should be no more than 400 kB.

5.2 File Name

There are no set criteria for the creation of file names. It is recommended that the customer use file names that he or she can easily track for each file submitted. SOS recommends including the date and time in the file names to easily identify them.

5.3 Reserved Characters

There are five special characters that are reserved and cannot be used directly in XML element or attribute data. They must be replaced with what are called XML Entity References. These special characters act as flags to the parser; they delimit the actual content of the document and tell the parser to take specific actions. In order to prevent misinterpretation by the parser, if these special characters are used, they must be represented using the Entity References shown in the following table.

Reserved Character	Entity Reference	Character Name
&	&	Ampersand
'	'	Apostrophe
"	"	Quote
<	<	Less Than
>	>	Greater Than

For example, the debtor name of Crate & Barrel would be represented as:
<OrganizationName>Crate & Barrel</OrganizationName>

Customers should account for the conversion of reserved characters into equivalent Entity References when determining OrganizationName length. If the OrganizationName of a submitted XML has one or more reserved characters, then the length of the OrganizationName in the returned XML may exceed the 300-character limit after conversion of reserved characters.

Note: If your XML document includes any of these characters (&, ', ", <, >) between begin and end tags and they are not represented with the appropriate entity reference, the entire document will not be accepted and will not be processed.

6. Filing Number Generation Logic

6.1   Filing Number Generation Logic - New System

The California SOS implemented a new UCC automation system in August 2004. The Filing Number generation logic for the new system is as follows:

UCC1 Filing Number	YYNNNNNNNNXX ***Where:*** YY = Year NNNNNNNN = Sequence Number XX = Checksum digit **Note:** The sequence number is reset to 1 at the start of a new calendar year.
UCC3 Filing Number	YYNNNNNNNN ***Where:*** YY = Year NNNNNNNN = Sequence Number **Note:** The running sequence is reset to 1, at the start of a new calendar year.

6.2   Filing Number Generation Logic - Old System

The Filing Number generation logic used by the Legacy system is as follows:

	Filed Before August 10, 1994	**Filed after August 10, 1994**
UCC1 Filing Number	YYYYNNNNNNBB *Where:* YYYY = Year NNNNNN = Sequence Number BB = Blank	YYYYJJJ6SSSS *Where:* YYYY = Year JJJ = Julian Date 6 = Initial Filing S = Sequence Number
UCC3 Filing Number	UUUUUUUUUUAN *Where:* UUUUUUUUUU = UCC1 File Number A = Alpha Character N = Sequence Number	YYYYJJJCSSSS *Where:* YYYY = Year JJJ = Julian Date C = Change Filing S = Sequence Number

7. Detailed XML Document Specifications – Filings

The following table describes each element and its application in detail. The container elements are marked in bold and indicate that the data elements are made up of sub elements and will not contain data. The definition column also describes the attribute value of the element.

					Original	Amend Debtor	Amend SP	Amend Collateral	Assignment	Continuation	Termination
**DOCUMENT SPECS - FILINGS** **DOCUMENT**
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition.**							
XMLVersion	**XMLVersion** Attribute: Version		0 or 1	The CA SOS system will allow an Attribute Value of 06232003. If the XML file contains any other version number or is empty, XML file will be refused. The Tag value will be discarded.	R	R	R	R	R	R	R
Header			1		R	R	R	R	R	R	R
Record			1 or more		R	R	R	R	R	R	R
FileSignature			0 or 1	Secretary of State, State of California [*Name of Current Secretary*], Secretary of State.	O/O	O/O	O/O	O/O	O/O	O/O	O/O

Note: The data types are alphanumeric unless specified for the element.

> Bold text in the Element Location column or Element column indicates data elements that are made up of sub- elements, and will not contain data

O = Optional
R = Required
- = N/A
R/O – Required, for Filing Office Use
O/O = Optional, for Filing Office Use

Element Location	Element	Max Length	Occurrence	Definition	Original	Amend Debtor	Amend SP	Amend Collateral	Assignment	Continuation	Termination
				DOCUMENT SPECS - FILINGS **HEADER**							
Filer			1		R	R	R	R	R	R	R
	Names		1	OrganizationName **or** IndividualName is required *Note:* • *If OrganizationName is present, IndividualName must be blank;* • *if IndividualName is present; OrganizationName must be blank.* • *Failure to enter filer name will be grounds for refusal of the XML File.*	R	R	R	R	R	R	R
	OrganizationName	300	1	Designates an entity having a legal identity separate from its owner	R	R	R	R	R	R	R
	IndividualName		1	If IndividualName is present, LastName is required FirstName, MiddleName, and Suffix are optional.	O	O	O	O	O	O	O
	LastName	50	1	Family name or surname of the Individual.	R	R	R	R	R	R	R
	FirstName	50	1	First given name of the Individual.	O	O	O	O	O	O	O
	MiddleName	50	1	All additional given names for an individual excluding the family name and the first given name	O	O	O	O	O	O	O
	Suffix	40	1	A title of lineage for an Individual	O	O	O	O	O	O	O
	MailAddress	100	1	Mailing Address of the designated party	O	O	O	O	O	O	O
	City	50	1	City of the designated party	O	O	O	O	O	O	O
	State	32	1	2 character US postal identification code. **Values:** See Appendix A – State Codes	O	O	O	O	O	O	O
	PostalCode	24	1	The postal code for the party	O	O	O	O	O	O	O
	County	-	0 or 1	*Note: California does not use this element.*	-	-	-	-	-	-	-

Element Location	Element	Max Length	Occurrence	Definition	Original	Amend Debtor	Amend SP	Amend Collateral	Assignment	Continuation	Termination
				DOCUMENT SPECS - FILINGS							
				HEADER							
	Country	3	0 or 1	3 character Country Code of the party. **Values:** See Appendix B – Country Codes	O	O	O	O	O	O	O
	TaxID	-	0 or 1	*Note: California does not image or index it.*	-	-	-	-	-	-	-
	OrganizationalType Attribute: Type	-	0 or 1	*Note: California does not image or index it.*	-	-	-	-	-	-	-
	OrganizationalJuris	-	0 or 1	*Note: California does not image or index it.*	-	-	-	-	-	-	-
	OrganizationalID	-	0 or 1	*Note: California does not image or index it.*	-	-	-	-	-	-	-
	Mark	-	0 or 1	*Note: California does not image or index it.*	-	-	-	-	-	-	-
	ClientAccountNum	15	1	Unique Customer Id assigned to the XML Filer. **Must be numeric**.	R	R	R	R	R	R	R
	ContactName	150	1	Contact person for the XML filer.	O	O	O	O	O	O	O
	ContactPhone	24	1	Contact phone for the XML filer.	O	O	O	O	O	O	O
	ContactEmail	64	1	Email for the XML filer.	R	R	R	R	R	R	R
	ContactFax	16	1	Facsimile for the XML filer.	O	O	O	O	O	O	O
	ReturnURL	64	0 or 1	The web site address that the Acknowledgement should be sent to if using the automated process.	O	O	O	O	O	O	O
	ReturnUserId	32	0 or 1	The User Id that may be required for the return information.	O	O	O	O	O	O	O
	ReturnUserPWD	32	0 or 1	The password that may be required for the return information.	O	O	O	O	O	O	O
PacketNum	PacketNum	15	0 or 1	Unique identifying number for the file. **Must be numeric.** *Note: Must be unique for each file submitted by a filer.*	R	R	R	R	R	R	R
Test	Test Attribute: Choice	3	1	Indicates the submission is for test purposes only.	R	R	R	R	R	R	R

					Original	Amend Debtor	Amend SP	Amend Collateral	Assignment	Continuation	Termination
DOCUMENT SPECS - FILINGS											
HEADER											
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**							
				Values: No Yes							

Element Location	Element	Max Length	Occurrence	Definition	Original	Amend Debtor	Amend SP	Amend Collateral	Assignment	Continuation	Termination
DOCUMENT SPECS - FILINGS **RECORD**											
SeqNumber	SeqNumber	5	0 or 1	Unique sequential number identifying the record. **Must be numeric.** *Note: Must be unique for each filing in the document.*	R	R	R	R	R	R	R

TransType	TransType
	
	Attribute: Type
		16	1	Indicates whether the Filing is an Initial Filing or a Change Filing.
				
				Values:
				  Initial
				  Amendment
					R	R	R	R	R	R	R

AmendmentType	AmendmentType
	
	Attribute: Type
		24	0 or 1	Identifies the type of Change Filing.
				
				Values:
				  AmendmentCollateral
				  AmendmentParties
				  Assignment
				  Continuation
				  TerminationDebtor
				  TerminationSecuredParty
				  NOType
				
				Note:
				  • *Value 'NOType' applies only for the Initial Filing.*
				  • *Only one AmendmentType per record is allowed.*
					-	R	R	R	R	R	R

AmendmentAction	AmendmentAction Attribute: Action	24	0 or 1	Identifies the type of Change Requested.	-	R	R	R	R	-	-

| | | | | | DOCUMENT SPECS - FILINGS | | | | | | | |
| | | | | | RECORD | | | | | | | |

Element Location	Element	Max Length	Occurrence	Definition	Original	Amend Debtor	Amend SP	Amend Collateral	Assignment	Continuation	Termination
				Values: DebtorAdd DebtorChange DebtorDelete SecuredPartyAdd SecuredPartyChange SecuredPartyDelete CollateralAdd CollateralChange CollateralDelete CollateralRestate CollateralAssign NOAction *Note:* • *Value 'NOAction' applies only for AmendmentType of Assignment, Continuation and Termination.* • *If AmendmentType = "AmendmentParties", values allowed will be "DebtorAdd", "DebtorChange", "DebtorDelete", "SecuredPartyAdd", "SecuredPartyChange" and "SecuredPartyDelete".* • *If AmendmentType = "AmendmentCollateral", values allowed will be "CollateralAdd", "CollateralChange", "CollateralDelete", "CollateralRestate" and "CollateralAssign".*							
InitialFileNumber	InitialFileNumber	15	0 or 1	*Note:* • *If TranType = Initial, this field is blank.* • *If TranType = Amendment, this field contains the file number for the financing statement.*	-	R	R	R	R	R	R

Element Location	Element	Max Length	Occurrence	Definition	Original	Amend Debtor	Amend SP	Amend Collateral	Assignment	Continuation	Termination
**DOCUMENT SPECS - FILINGS**
**RECORD**
InitialFileDate	InitialFileDate	-	0 or 1	*Note: California does not image or index it.*	-	-	-	-	-	-	-
SubmitterRef	SubmitterRef	80	0 or 1	Unique Identifying Information for the filer.	O	O	O	O	O	O	O
ActionCode	ActionCode	-	0 or 1	*Note: California does not image or index it.*	-	-	-	-	-	-	-

AltNameDesignation	AltNameDesignation Attribute: AltName	24	0 or 1	Alternate name designations for Debtor/Secured Party.
				
				Values:
				    Lessee-Lessor
				    Consignee-Consignor
				    Bailee-Bailor
				    Seller-Buyer
				    NOAltName (Default)
					O	-	-	-	-	-	-

AltFilingType	AltFilingType Attribute: AltType	24	0 or 1	Identifies the Alternate Filing Types.
				
				Values:
				    TransmittingUtility
				    ManufacturedHome
				    PublicFinance
				    NOAltType (Default)
				
				Note:
				 • *For change filings the value will be discarded.*
				 • *The value of NOAltType will indicate Financing Statement*
					O	-	-	-	-	-	-

FileInRealEstate		-	0 or 1	*Note: California does not image or index it.*	-	-	-	-	-	-	-
	Designation Attribute: Type	-	1	*Note: California does not image or index it.*	-	-	-	-	-	-	-
	RealEstateDescription	-	1	*Note: California does not image or index it.*	-	-	-	-	-	-	-
	Names	-	1 or more	*Note: California does not image or index it.*	-	-	-	-	-	-	-
	OrganizationName	-	1	*Note: California does not image or index it.*	-	-	-	-	-	-	-
	IndividualName	-	1	*Note: California does not image or index it.*	-	-	-	-	-	-	-

					Original	Amend Debtor	Amend SP	Amend Collateral	Assignment	Continuation	Termination
**DOCUMENT SPECS - FILINGS**
**RECORD**
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**							
	LastName	-	1	*Note: California does not image or index it.*	-	-	-	-	-	-	-
	FirstName	-	1	*Note: California does not image or index it.*	-	-	-	-	-	-	-
	MiddleName	-	1	*Note: California does not image or index it.*	-	-	-	-	-	-	-
	Suffix	-	1	*Note: California does not image or index it.*	-	-	-	-	-	-	-
	MailAddress	-	1	*Note: California does not image or index it.*	-	-	-	-	-	-	-
	City	-	1	*Note: California does not image or index it.*	-	-	-	-	-	-	-
	State	-	1	*Note: California does not image or index it.*	-	-	-	-	-	-	-
	PostalCode	-	1	*Note: California does not image or index it.*	-	-	-	-	-	-	-
	County	-	0 or 1	*Note: California does not image or index it.*	-	-	-	-	-	-	-
	Country	-	0 or 1	*Note: California does not image or index it.*	-	-	-	-	-	-	-
	TaxID	-	0 or 1	*Note: California does not image or index it.*	-	-	-	-	-	-	-
	OrganizationalType Attribute: Type	-	0 or 1	*Note: California does not image or index it.*	-	-	-	-	-	-	-
	OrganizatitonalJuris	-	0 or 1	*Note: California does not image or index it.*	-	-	-	-	-	-	-
	OrganizationalID	-	0 or 1	*Note: California does not image or index it.*	-	-	-	-	-	-	-
	Mark	-	0 or 1	*Note: California does not image or index it.*	-	-	-	-	-	-	-

SearchToReflect	SearchToReflect Attribute: Type	16	0 or 1	Request for a Search to Reflect on Debtors provided.
				
				Value:
				    Debtor1
				    Debtor2
				    AllDebtors
				    Blank (Default)
				
				Note: System will create a separate XML Search File if Search to Reflect is marked.
					-	-	-	-	-	-	-

MiscInfo	MiscInfo	36	0 or 1	Identifies additional information not provided for the Filing.	O	O	O	O	O	O	O

DOCUMENT SPECS - FILINGS											
RECORD											
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**	**Original**	**Amend Debtor**	**Amend SP**	**Amend Collateral**	**Assignment**	**Continuation**	**Termination**
CurrentName			0 or 1	The system will accept the values only for DebtorChange, DebtorDelete, SecuredPartyChange or SecuredPartyDelete Amendment Action. Otherwise the data will be discarded. OrganizationName **or** IndividualName is required. *Note:* • *If OrganizationName is present, IndividualName must be blank;* • *If IndividualName is present, OrganizationName must be blank.*	-	O	O	-	-	-	-
	OrganizationName	300	1	Identifies the affected party in an Amendment.	-	R	R	-	-	-	-
	IndividualName		1	If IndividualName is present, LastName is required FirstName, MiddleName, and Suffix are optional.	-			-	-	-	-
	LastName	50	1	Family name or surname of the Individual.	-	R	R	-	-	-	-
	FirstName	50	1	First given name of the Individual.	-	O	O	-	-	-	-
	MiddleName	50	1	All additional given names for an individual excluding the family name and the first given name	-	O	O	-	-	-	-
	Suffix	40	1	A title of lineage for an Individual	-	O	O	-	-	-	-
Debtors			0 or 1		R	R	-	-	-	-	-
	DebtorName		1 or more	*Note:* • *System will accept only 1 name for Amendment Action = DebtorChange.* • *System will accept multiple names for TransType = Initial, and Amendment Action = DebtorAdd.*	R	R	-	-	-	-	-

Element Location	Element	Max Length	Occurrence	Definition	Original	Amend Debtor	Amend SP	Amend Collateral	Assignment	Continuation	Termination
				DOCUMENT SPECS - FILINGS							
				RECORD							
	Names		1	OrganizationName **or** IndividualName is required *Note:* • *If OrganizationName is present, IndividualName must be blank;* • *If IndividualName is present, OrganizationName must be blank.*	R	R	-	-	-	-	-
	OrganizationName	300	1	Identifies the affected party in an Amendment. *Note: If the OrganizationName of a submitted XML has one or more reserved characters, then the length of the OrganizationName in the returned XML may be greater than 300 characters.*	R	R	-	-	-	-	-
	IndividualName		1	If IndividualName is present, LastName is required FirstName, MiddleName, and Suffix are optional.	O		-	-	-	-	-
	LastName	50	1	Family name or surname of the Individual.	R	R	-	-	-	-	-
	FirstName	50	1	First given name of the Individual.	O	O	-	-	-	-	-
	MiddleName	50	1	All additional given names for an individual excluding the family name and the first given name	O	O	-	-	-	-	-
	Suffix	50	1	A title of lineage for an Individual	O	O	-	-	-	-	-
	MailAddress	110	1	Mailing Address of the designated party.	R	R	-	-	-	-	-
	City	50	1	City of the designated party.	R	R	-	-	-	-	-
	State	32	1	2 character US postal identification code. **Values:** See Appendix A - State Codes	R	R	-	-	-	-	-
	PostalCode	24	1	The postal code for the party	O	O	-	-	-	-	-

Element Location	Element	Max Length	Occurrence	Definition	Original	Amend Debtor	Amend SP	Amend Collateral	Assignment	Continuation	Termination
DOCUMENT SPECS - FILINGS											
RECORD											
	County	-	0 or 1	*Note: California does not use this element.*	-	-	-	-	-	-	-
	Country	3	0 or 1	3 character Country Code of the party. **Values:** See Appendix B – Country Codes	R	R	-	-	-	-	-
	TaxID	-	0 or 1	*Note: California does not use this element.*	-	-	-	-	-	-	-

				DOCUMENT SPECS - FILINGS							
				RECORD							
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**	**Original**	**Amend Debtor**	**Amend SP**	**Amend Collateral**	**Assignment**	**Continuation**	**Termination**
	OrganizationalType Attribute: Type	50	0 or 1	The type of Organization for the Organization Debtor. **Values:** Corporation Foreign Association General Partnership Limited Liability Company Limited Liability Limited Partnership Limited Liability Partnership Limited Partnership Registered Limited Liability Limited Partnership Sole Proprietorship Unincorporated Association Unincorporated Nonprofit Association NOType *Note:* • *For attribute value of NOType, other organization types can be provided as Data for this element.* • *If OrganizationName is present, either of OrganizationalType, OrganizationalJuris or OrganizationalId is required.* • *If the Debtor is an Individual, CA does not image or index it.*	R	R	-	-	-	-	-
	OrganizationalJuris	24	0 or 1	Jurisdiction of the Organization Debtor. *Note:* • *If OrganizationName is present, either of OrganizationalType, OrganizationalJuris or OrganizationalId is required.* • *If the Debtor is an Individual, CA does not image or index it.*	R	R	-	-	-	-	-

					Original	Amend Debtor	Amend SP	Amend Collateral	Assignment	Continuation	Termination
DOCUMENT SPECS - FILINGS											
RECORD											
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**							
	OrganizationalID	54	0 or 1	Either provide a unique identification number for the organization debtor assigned by the agency where the charter document was filed for organization debtor, or provide a value of 'None' and the checkbox will be marked. *Note:* • *If OrganizationName is present, either of OrganizationalType, OrganizationalJuris or OrganizationalId is required.* • *If the Debtor is an Individual, CA does not image or index it.*	R	R	-	-	-	-	-
	Mark	-	0 or 1	**Note:** *California does not use this element.*	-	-	-	-	-	-	-
	DebtorAltCapacity Attribute: AltCapacity	16	0 or 1	Alternative capacity of the debtor with respect to property **Values:** Estate Trust Trustee NOAltCapacity (Default) *Note:* • *The Debtor applied to the UCC1 form will be the first one listed where the value is either Estate, Trust, or Trustee, but not NOAltCapacity* • *Remaining values for other Debtors will be discarded.*	O	-	-	-	-	-	-

Element Location	Element	Max Length	Occurrence	Definition	Original	Amend Debtor	Amend SP	Amend Collateral	Assignment	Continuation	Termination
DOCUMENT SPECS - FILINGS											
RECORD											
	Not-Indexed-Reason	256	0 or 1	Reason a Debtor was not Indexed. *Note:* • *The Debtors that fail the validations will not be indexed in the system and will not appear on the image.* • *System will accept the filing only when at least one debtor was accepted.*	O/O	O/O	-	-	-	-	-
	Trust	-	0 or 1	*Note: California does not use this element.*	-	-	-	-	-	-	-
	TrustDate	-	0 or 1	*Note: California does not use this element.*	-	-	-	-	-	-	-
Secured			0 or 1		R	-	R	-	R	-	-
	SecuredName		1 or more	*Note:* • *System will accept only 1 name for AmendmentAction = SecuredPartyChange.* • *System will accept multiple names for TransType = Initial and AmendmentAction = SecuredPartyAdd.* • *Name is required for AmendmentType = Assignment.*	R	-	R	-	R	-	-
	Names		1	OrganizationName **or** IndividualName is required. *Note:* • *If OrganizationName is present, IndividualName must be blank;* • *if IndividualName is present, OrganizationName must be blank.*	R	-	R	-	R	-	-

DOCUMENT SPECS - FILINGS											
RECORD											
Element Location	Element	Max Length	Occurrence	Definition	Original	Amend Debtor	Amend SP	Amend Collateral	Assignment	Continuation	Termination
	OrganizationName	300	1	Identifies the affected party in an Amendment. *Note: If the OrganizationName of a submitted XML has one or more reserved characters, then the length of the OrganizationName in the returned XML may be greater than 300 characters.*	R	-	R	-	R	-	-
	IndividualName		1	If IndividualName is present, LastName is required FirstName, MiddleName, and Suffix are optional.		-	O	-	O	-	-
	LastName	50	1	Family name or surname of the Individual.	R	-	R	-	R	-	-
	FirstName	50	1	First given name of the Individual.	O	-	O	-	O	-	-
	MiddleName	50	1	All additional given names for an individual excluding the family name and the first given name	O	-	O	-	O	-	-
	Suffix	40	1	A title of lineage for an Individual	O	-	O	-	O	-	-
	MailAddress	110	1	Mailing Address of the designated party.	R	-	R	-	R	-	-
	City	50	1	City of the designated party.	R	-	R	-	R	-	-
	State	32	1	2 character US postal identification code. **Values:** See Appendix A – State Codes	R	-	R	-	R	-	-
	PostalCode	24	0 or 1	The postal code for the party	O	-	O	-	O	-	-
	County	-	0 or 1	*Note: California does not use this element.*	-	-	-	-	-	-	-
	Country	3	0 or 1	3 character Country Code of the party. **Values:** See Appendix B – Country Codes	O	-	O	-	O	-	-

						Original	Amend Debtor	Amend SP	Amend Collateral	Assignment	Continuation	Termination
DOCUMENT SPECS - FILINGS												
RECORD												
Element Location	**Element**	Max Length	Occurrence	**Definition**		Original	Amend Debtor	Amend SP	Amend Collateral	Assignment	Continuation	Termination
	TaxID	-	0 or 1	*Note: California does not use this element.*		-	-	-	-	-	-	-
	OrganizationalType Attribute: Type	-	0 or 1	*Note: California does not use this element.*		-	-	-	-	-	-	-
	OrganizationalJuris	-	0 or 1	*Note: California does not use this element.*		-	-	-	-	-	-	-
	OrganizationalID	-	0 or 1	*Note: California does not use this element.*		-	-	-	-	-	-	-
	Mark	-	0 or 1	*Note: California does not use this element.*		-	-	-	-	-	-	-
	Not-Indexed-Reason	256	0 or 1	Reason a Secured Party was not Indexed. *Note:* • *The Secured Parties that fail the validations will not be indexed in the system and will not appear on the image.* • *The system will accept the filing only when at least one Secured Party has been accepted.*		O/O	-	O/O	-	O/O	-	-
Assignor			0 or 1	For UCC1 an AmendmentType of 'Assignment' multiple values will be accepted. The Assignor will be mapped as Secured Party for UCC1's. The Assignor will be mapped as authorizing party for the Assignment. For all other UCC3 the Assignor information will be discarded. *Note:* • *System will accept multiple names for: TransType = Initial and AmendmentType = Assignment.*		O	-	-	-	O	-	-

Element Location	Element	Max Length	Occurrence	Definition	Original	Amend Debtor	Amend SP	Amend Collateral	Assignment	Continuation	Termination
				DOCUMENT SPECS - FILINGS							
				RECORD							
	Names		1 or more	OrganizationName **or** Individual Name is required. *Note:* • *If OrganizationName is present, IndividualName must be blank;* • *if IndividualName is present, OrganizationName must be blank.*	R	-	-	-	R	-	-
	OrganizationName	300	1	Identifies the affected party in an Amendment.	R	-	-	-	R	-	-
	IndividualName		1	If IndividualName is present, LastName is required FirstName, MiddleName, and Suffix are optional.	O	-	-	-	O	-	-
	LastName	50	1	Family name or surname of the Individual.	R	-	-	-	R	-	-
	FirstName	50	1	First given name of the Individual.	O	-	-	-	O	-	-
	MiddleName	50	1	All additional given names for an individual excluding the family name and the first given name	O	-	-	-	O	-	-
	Suffix	40	1	A title of lineage for an Individual	O	-	-	-	O	-	-
	MailAddress	110	1	Mailing Address of the designated party.	R	-	-	-	-	-	-
	City	50	1	City of the designated party.	R	-	-	-	-	-	-
	State	32	1	2 character US postal identification code. **Values:** See Appendix A – State Codes	R	-	-	-	-	-	-
	PostalCode	24	0 or 1	The postal code for the party	O	-	-	-	-	-	-
	County	-	0 or 1	*Note: California does not use this element.*	-	-	-	-	-	-	-
	Country	3	0 or 1	3 character Country Code of the party. **Values:** See Appendix B – Country Codes	R	-	-	-	-	-	-
	TaxID	-	0 or 1	*Note: California does not use this element.*	-	-	-	-	-	-	-

Element Location	Element	Max Length	Occurrence	Definition	Original	Amend Debtor	Amend SP	Amend Collateral	Assignment	Continuation	Termination
	OrganizationalType Attribute: Type	-	0 or 1	*Note: California does not use this element.*	-	-	-	-	-	-	-
	OrganizationalJuris	-	0 or 1	*Note: California does not use this element.*	-	-	-	-	-	-	-
	OrganizationalID	-	0 or 1	*Note: California does not use this element.*	-	-	-	-	-	-	-
	Mark	-	0 or 1	*Note: California does not use this element.*	-	-	-	-	-	-	-
Collateral			0 or 1	Either ColText or Attachment can be provided, but both elements cannot be provided together. If both are provided, the system will index the Collateral information provided in ColText and discard the attachment. The CA SOS system will image the collateral text in the following format: Font = Times New Roman Size = 10 point Max number of characters per line = 35 Max number of lines = 9 lines on page 1, and remainder of text appears on addendum pages. Any single string of characters cannot exceed 80 without a return or a space. If there is no break in the string, the system will not image the collateral text.	O	-	-	O	-	-	-
	ColText	50K	0 or 1	Provide the entire collateral description for **all** collateral covered by the Financing Statement in **one** ColText data element. The Collateral will be indexed in the system.	O	-	-	O	O	-	-
	FSAProducts	-	0 or 1	*Note: California does not use this element.*	-	-	-	-	-	-	-
	Name-Code	-	1 or more	*Note: California does not use this element.*	-	-	-	-	-	-	-
	Years	-	1	*Note: California does not use this element.*	-	-	-	-	-	-	-

Element Location	Element	Max Length	Occurrence	Definition	Original	Amend Debtor	Amend SP	Amend Collateral	Assignment	Continuation	Termination
DOCUMENT SPECS - FILINGS											
RECORD											
	Year	-	1 or more	*Note: California does not use this element.*	-	-	-	-	-	-	-
	Counties	-	1	*Note: California does not use this element.*	-	-	-	-	-	-	-
	County	-	1 or more	*Note: California does not use this element.*	-	-	-	-	-	-	-
	Unit	-	1	*Note: California does not use this element.*	-	-	-	-	-	-	-
	Quantity	-	1	*Note: California does not use this element.*	-	-	-	-	-	-	-
	Location	-	1	*Note: California does not use this element.*	-	-	-	-	-	-	-
	Description	-	1	*Note: California does not use this element.*	-	-	-	-	-	-	-
	Attachment		0 or 1	*Note: California does not use this element.*	O	-	-	O	-	-	-

					Original	Amend Debtor	Amend SP	Amend Collateral	Assignment	Continuation	Termination
				DOCUMENT SPECS - FILINGS							
				RECORD							
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**							
	MIMEType	8	1	CA SOS system will accept the following attachment files: • Microsoft Word Document (.doc) compatible with MS Word 2000/2003. The attachment should not contain any macros, code, linked objects or embedded objects. It is recommended using letter size pages, standard margins, line spacing and common font typefaces. • Microsoft Excel Document (.xls) compatible with MS Excel 2000/2003. The attachment should not contain any macros, code, linked objects or embedded objects, or link to an external data source. It is recommended using letter size pages, standard margins, line spacing and common font typefaces. • ASCII Compliant Text File (.txt) that uses the standard ASCII characters 0 – 127. • Adobe Portable Document Format (.pdf) files compliant with the published Adobe PDF standards for versions 1.3 and later. PDFs should not include interactive form fields, code or embedded objects. Any custom security settings must allow printing. It is recommended using letter size pages, standard margins, line spacing, and font typefaces. The Attribute Values are **Type:** Text PDF Word Excell	O	-	-	O	N	-	-

					DOCUMENT SPECS - FILINGS							
					RECORD							
Element Location	Element	Max Length	Occurrence	Definition	Original	Amend Debtor	Amend SP	Amend Collateral	Assignment	Continuation	Termination
	TextData	unlimited	1	The attachment files should be encoded using Base 64 prior to being inserted into the xml document. The SOS system will decode the data to create the image attachment. *Note: There is no restriction on the Collateral attachment file size; however there is an overall limit of 1MB for the exchange transmission if uploaded through Automated Exchange and 2MB if uploaded via the Internet.*	O	-	-	O	N	-	-
AuthorizingParty			0 or more		-	O	O	O	O	O	O
	AuthSecuredParty		0 or 1	OrganizationName **or** IndividualName is required. *Note:* • *If OrganizationName is present, IndividualName must be blank;* • *if IndividualName is present, OrganizationName must be blank.*	-	-	O	O	O	O	O
	OrganizationName	300	1	Name of the Secured Party authorizing the change filing.	-	-	R	R	R	R	R
	IndividualName		1	If IndividualName is present, LastName is required FirstName, MiddleName, and Suffix are optional.	-	-	O	O	O	O	O
	LastName	50	1	Family name or surname of the Individual.	-	-	R	R	R	R	R
	FirstName	50	1	First given name of the Individual.	-	-	O	O	O	O	O
	MiddleName	50	1	All additional given names for an individual excluding the family name and the first given name	-	-	O	O	O	O	O
	Suffix	40	1	A title of lineage for an Individual	-	-	O	O	O	O	O
	AuthDebtor		0 or 1	OrganizationName **or** IndividualName is required *Note:* • *If OrganizationName is present, IndividualName must be blank;* • *if IndividualName is present, OrganizationName must be blank.*	-	O	-	O	-	-	O

Element Location	Element	Max Length	Occurrence	Definition	Original	Amend Debtor	Amend SP	Amend Collateral	Assignment	Continuation	Termination
				DOCUMENT SPECS - FILINGS							
				RECORD							
	OrganizationName	300	1	Name of the Debtor authorizing the change filing.	-	R	-	R	-	-	R
	IndividualName		1	If IndividualName is present, LastName is required FirstName, MiddleName, and Suffix are optional.	-	O	-	O	-	-	O
	LastName	50	1	Family name or surname of the Individual.	-	R	-	R	-	-	R
	FirstName	50	1	First given name of the Individual.	-	O	-	O	-	-	O
	MiddleName	50	1	All additional given names for an individual excluding the family name and the first given name	-	O	-	O	-	-	O
	Suffix	40	1	A title of lineage for an Individual	-	O	-	O	-	-	O
Acknowledgement			0 or 1		R/O	R/O	R/O	R/O	R/O	R/O	R/O
	FileNumber	15	1	Unique Identifying number assigned by the Filing Office to an accepted UCC document.	R/O	R/O	R/O	R/O	R/O	R/O	R/O
	FileDate	8	1	File Date the Filing Office accepted the Initial or Change Filing. *Note: The date the filing would have been filed is returned for Rejected documents.* **Format:** CCYYMMDD	R/O	R/O	R/O	R/O	R/O	R/O	R/O
	FileTime	4	1	The File Time the Filing Office accepted the Initial or Change Filing. *Note: The date the filing would have been filed is returned for Rejected documents.*	R/O	R/O	R/O	R/O	R/O	R/O	R/O

					Original	Amend Debtor	Amend SP	Amend Collateral	Assignment	Continuation	Termination
DOCUMENT SPECS - FILINGS											
RECORD											
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**							
				Format: HHMM							
	LapseDate	8	0 or 1	The Date on which the Initial Filing will Lapse. **Format:** CCYYMMDD	R/O	-	-	-	-	-	-
	FeeAmount	10	1	The Fee for the Initial or Change Filing as charged by the Filing Office. The amount is deducted from either client's ACH account or customer account. **Format:** NNNNNNN.NN (7.2)	R/O	R/O	R/O	R/O	R/O	R/O	R/O
	AdditionalFees	10	0 or 1	Any additional fee on top of the Filing Fee as charged by the Filing Office. The amount is deducted either from the client's ACH account or customer account. **Format:** NNNNNNN.NN (7.2)	R/O	R/O	R/O	R/O	R/O	R/O	R/O
	FilingOffice	15	1	The Filing Office where the document was filed. **Values:** "California Secretary of State"	R/O	R/O	R/O	R/O	R/O	R/O	R/O
	FileStatus Attribute: Status	20	1	Indicates whether the Filing was accepted or rejected. **Values:** Accepted Rejected AcceptedWithErrors *Note: The Status of AcceptedWithErrors will be returned if not all debtors or secured parties were indexed.*	R/O	R/O	R/O	R/O	R/O	R/O	R/O

					Original	Amend Debtor	Amend SP	Amend Collateral	Assignment	Continuation	Termination
DOCUMENT SPECS - FILINGS											
RECORD											
Element Location	**Element**	Max Length	Occurrence	**Definition**							
	Errors		0 or 1		O/O	O/O	O/O	O/O	O/O	O/O	O/O
	ErrorText	128	1 or more	Indicates the reason(s) why the transaction was not accepted by the Filing Office. **Values:** See Appendix D: XML Rejection Error Messages	O/O	O/O	O/O	O//O	O/O	O/O	O/O

8. Detailed XML Document Specifications - Searches

The following table describes each element and its application in detail. The container elements are marked in bold and indicate that the data elements are made up of sub elements and will not contain data. The definition column also describes the attribute value of the element.

DOCUMENT SPECS - SEARCHES							
DOCUMENT							
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**	**Search Certificate**	**Search Cert. With Copies**	**Specified Copies Only**
XMLVersion	**XMLVersion** Attribute: Version		0 or 1	The CA SOS system will allow an Attribute Value of 07192003. If the XML file contains any other version number or is empty, the XML file will be refused. The Tag value will be discarded.	R	R	R
Header			1		R	R	R
Record			1 or more		R	R	R
FileSignature			0 or 1	Secretary of State, State of California [*Name of Current Secretary*], Secretary of State. .	O/O	O/O	O/O

Note: The data types are alphanumeric unless specified for the element.

O = Optional
R = Required
- = N/A
R/O = Required, for Filing Office Use
O/O = Optional, for Filing Office Use

					Search Certificate	Search Cert. With Copies	Specified Copies Only
**DOCUMENT SPECS - SEARCHES**
**HEADER**
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**			
Filer			1		R	R	R
	Names		1	OrganizationName **or** IndividualName is required. *Note:* • *If OrganizationName is present, IndividualName must be blank;* • *if IndividualName is present; OrganizationName must be blank.* • *Failure to enter filer name will be grounds for refusal of the XML File.*	R	R	R
	OrganizationName	300	1	Designates an entity having a legal identity separate from its owner	R	R	R
	IndividualName		1	If IndividualName is present, LastName is required FirstName, MiddleName, and Suffix are optional.	O	O	O
	LastName	50	1	Family name or surname of the Individual.	R	R	R
	FirstName	50	1	First given name of the Individual.	O	O	O
	MiddleName	50	1	All additional given names for an individual excluding the family name and the first given name	O	O	O
	Suffix	40	1	A title of lineage for an Individual	O	O	O
	MailAddress	100	1	Mailing Address of the designated party	O	O	O
	City	50	1	City of the designated party	O	O	O
	State	32	1	2 character US postal identification code. **Values:** See Appendix A - State Codes	O	O	O
	PostalCode	24	1	The postal code for the party	O	O	O

					DOCUMENT SPECS - SEARCHES			
					HEADER			
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**		**Search Certificate**	**Search Cert. With Copies**	**Specified Copies Only**
	County	-	0 or 1	*Note: California does not use this element.*		-	-	-
	Country	3	0 or 1	3 character Country Code of the party. **Values:** See Appendix B – Country Codes		O	O	O
	TaxID	-	0 or 1	*Note: California does not use this element.*		-	-	-
	OrganizationalType Attribute: Type	-	0 or 1	*Note: California does not use this element.*		-	-	-
	OrganizationalJuris	-	0 or 1	*Note: California does not use this element.*		-	-	-
	OrganizationalID	-	0 or 1	*Note: California does not use this element.*		-	-	-
	Mark	-	0 or 1	*Note: California does not use this element.*		-	-	-
	ClientAccountNum	15	1	Unique Customer Id assigned to the XML Customer. **Must be numeric**		R	R	R
	ContactName	??	1	Contact person for the XML filer.		O	O	O
	ContactPhone	24	1	Contact phone for the XML filer.		O	O	O
	ContactEmail	64	1	Email for the XML filer.		R	R	R
	ContactFax	16	1	Facsimile for the XML filer.		O	O	O
	ReturnURL	64	0 or 1	The web site address that the Acknowledgement should be sent to if using the automated process.		O	O	O
	ReturnUserId	32	0 or 1	The User ID that may be required for the return information.		O	O	O
	ReturnUserPWD	32	0 or 1	The password that may be required for the return information.		O	O	O

				DOCUMENT SPECS - SEARCHES			
				HEADER			
Element Location	Element	Max Length	Occurrence	Definition	Search Certificate	Search Cert. With Copies	Specified Copies Only
PacketNum	PacketNum	15	0 or 1	Unique identifying number for the file. **Must be numeric.** *Note: Must be unique for each file submitted by a customer.*	R	R	R
Test	Test Attribute: Choice	3	1	Indicates the submission is for test purposes only. **Values:** No Yes	R	R	R

				DOCUMENT SPECS - SEARCHES			
				RECORD			
Element Location	Element	Max Length	Occurrence	Definition	Search Certificate – Listing	Search Cert. With Copies – Both	Specified Copies Only - Details
SubmitterRef	SubmitterRef	80	1	Unique sequential number identifying the record. **Must be numeric.** *Note: Must be unique for each filing in the document.*	O	O	O
Request		-	1		R	R	R
	SearchType	16	1	Indicates the type of Search Request. **Values:** All *Note: California will always provide all Filing Types for a search result.*	R	R	-
	ResultType	16	1	Designates the type of search result requested. *Note:* • *If requesting Specified Copies Only, select Details* • *If requesting Search Certificate With Copies, select Both* • *If requesting Search Certificate only, select Listing* **Values:** Details Both Listing	R	R	R

					Search Certificate – Listing	Search Cert. With Copies – Both	Specified Copies Only - Details
				DOCUMENT SPECS - SEARCHES			
				RECORD			
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**			
	UnLapsedPlus1	12	1	Indicates the search request is for Active Filings. **Values:** No Yes *Note: For values of No, <u>only</u> Active filings will be provided.*	O	O	-
	FileNumberToSearch	15	1	A request for copies by Filing Number.	-	-	R
	Names	-	1	OrganizationName **or** IndividualName is required. *Note:* • *If OrganizationName is present, IndividualName must be blank;* • *If IndividualName is present; OrganizationName must be blank.* • *Failure to enter filer name will be grounds for refusal of the XML File.*	R	R	-
	OrganizationName	300	1	Request for organization name to be searched.	R	R	-
	IndividualName	-	1	If IndividualName is present, LastName is required FirstName, MiddleName, and Suffix are optional.	O	O	-
	LastName	50	1	Family name or surname of the Individual.	R	R	-
	FirstName	50	1	First given name of the Individual.	O	O	-
	MiddleName	50	1	All additional given names for an individual excluding the family name and the first given name	O	O	-
	Suffix	40	1	A title of lineage for an Individual	O	O	-
	MailAddress	110	1	Mailing Address of the designated party	O	O	-

					Search Certificate – Listing	Search Cert. With Copies – Both	Specified Copies Only - Details
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**			
	City	50	1	City of the designated party	O	O	-
	State	32	1	2 character US postal identification code. **Values:** See Appendix A - State Codes	O	O	-
	PostalCode	24	1	The postal code for the party	-	-	-
	County	-	1	*Note: California does not use this element.*	-	-	-
	Country	3	1	3 character Country Code of the party. **Values:** See Appendix B – Country Codes	O	O	-
	TaxID	-	1	*Note: California does not use this element.*	-	-	-
	OrganizationalType	-	1	*Note: California does not use this element.*	-	-	-
	OrganizationalJuris	-	1	*Note: California does not use this element.*	-	-	-
	OrganizationalID	-	1	*Note: California does not use this element.*	-	-	-
	Mark	-	1	*Note: California does not use this element.*	-	-	-
	FromDate	8	1	The begin date for a Search request by date range. **Format:** CCYYMMDD *Note: California will also include the UCC1 if any of the UCC3 falls under the specified date range.*	O	O	-
	ToDate	-	1	*Note: California will always use the current date to specify the end date.*	-	-	-

The table above falls under the headings **DOCUMENT SPECS - SEARCHES** and **RECORD**.

					Search Certificate – Listing	Search Cert. With Copies – Both	Specified Copies Only - Details
	**DOCUMENT SPECS - SEARCHES**
	**RECORD**
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**			
Results		-	1		R/O	R/O	R/O
Errors		-	1	Errors for a request will be reported here.	O/O	O/O	O/O
	ErrorText	128	1 or more	Indicates the reason(s) on why the request was not accepted by the Filing Office. **Values:** See Appendix D: XML Rejection Error Messages	O/O	O/O	O/O

	DOCUMENT SPECS - SEARCHES						
	RESULTS						
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**	**Search Certificate**	**Search Cert. With Copies**	**Specified Copies Only**
ThruDate	ThruDate	8	1	Date through which the Filing Office can certify records. **Format:** CCYYMMDD	R/O	R/O	R/O
ProcessDate	ProcessDate	8	1	Date the Search request was processed. **Format:** CCYYMMDD	R/O	R/O	R/O
NumberOfRecords	NumberOfRecords	10	1	Number of Initial Filing records found for the Search request. *Note: For a negative Search this will be zero.*	R/O	R/O	-
FeeAmount	FeeAmount	7.2	1	The Fee for the Search Request as charged by the Filing Office. The amount is deducted either from the ACH or customer account. **Format:** NNNNNNN.NN (7.2)	R/O	R/O	R/O
FilingHistory		-	0 or more	*Note: California returns all the Debtors and Secured Parties for Listing and Both in the FileDetail element. Therefore, this element will not be used.*	-	-	-
	OriginalFiling	-	1 or more	*Note: California does not use this element.*	-	-	-
	FileNumber	15	1	*Note: California does not use this element.*	-	-	-
	FileDate	8	1	*Note: California does not use this element.*	-	-	-
	NameOnFile	300	1	*Note: California does not use this element.*	-	-	-
	FilingOffice	15	1	*Note: California does not use this element.*	-	-	-

					Search Certificate	Search Cert. With Copies	Specified Copies Only
DOCUMENT SPECS - SEARCHES							
RESULTS							
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**			
	LapseDate	8	1	*Note: California does not use this element.*	-	-	-
	SubsequentFilings	-	0 or more	*Note: California does not use this element.*	-	-	-
	FileNumber	15	1	*Note: California does not use this element.*	-	-	-
	FileDate	8	1	*Note: California does not use this element.*	-	-	-
	FileType	30	1	*Note: California does not use this element.*	-	-	-
	FilingOffice	15	1	*Note: California does not use this element.*	-	-	-
FileDetail		-	0 or more	This element will be returned for all the ResultType values.	R/O	R/O	R/O

				DOCUMENT SPECS - SEARCHES			
				FILEDETAIL			
Element Location	Element	Max Length	Occurrence	Definition	Search Certificate	Search Cert. With Copies	Specified Copies Only

TransType	TransType	16	1	Indicates whether the Filing is an Initial Filing or a Change Filing.
				
				Values:
				    Initial
				    Amendment
					R/O	R/O	R/O

FilingMethod	FilingMethod	16	1	Identifies the method the filing was received by the Filing Office.
				
				Values:
				    Electronic
				    Paper
					R/O	R/O	R/O

			DOCUMENT SPECS - SEARCHES				
			FILEDETAIL				
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**	**Search Certificate**	**Search Cert. With Copies**	**Specified Copies Only**

AmendmentType	AmendmentType	24	0 or 1	Identifies the type of Change Filing.
				
				Values:
				   Amendment
				   Assignment
				   Continuation
				   Termination
				   Correction
				   FilingOfficerStatement
				   CourtOrder
				   NOType
				
				Note:
				 • *Value 'NOType' applies only for the Initial Filing.*
				 • *Only **one** AmendmentType per record is allowed.*
					O/O	O/O	O/O

AmendmentActionLoop		-	1	*Note: California will include these details as part of the images.*	-	-	-
	AmendmentAction	24	1 or more		-	-	-
AmendmentType Loop		-	1	*Note: California will include these details as part of the images.*	-	-	-
	AmendmentType	24	1 or more		-	-	-
OriginalFileNumber	OriginalFileNumber	15	1	The File Number of the Initial Filing.	R/O	R/O	R/O

					DOCUMENT SPECS - SEARCHES			
					FILEDETAIL			
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**		**Search Certificate**	**Search Cert. With Copies**	**Specified Copies Only**
OriginalFileDate	OriginalFileDate	8	1	The File Date of the Initial Filing. **Format:** CCYYMMDD		R/O	R/O	R/O
PreviousFileNumber	PreviousFileNumber	-	1	*Note: California will not return this element.*		R/O	-	-
LapseDate	LapseDate	8	1	The Lapse Date of the Initial Filing. **Format:** CCYYMMDD		R/O	R/O	R/O
FileDate	FileDate	8	1	The File Date of the Filing Document. *Note: For the Initial Filing record the Initial Filing Date will be returned.*		R/O	R/O	R/O
FilingOffice	FilingOffice	15	1	Value of "California Secretary of State" will be returned.		R/O	R/O	R/O
ActionCode	ActionCode	-	1	*Note: California does not use this element.*		-	-	-
AltNameDesignation	AltNameDesignation	20	1	*Note: California will include these details as part of the images.*		-	-	-

	DOCUMENT SPECS - SEARCHES						
	FILEDETAIL						
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**	**Search Certificate**	**Search Cert. With Copies**	**Specified Copies Only**

AltFilingType	AltFilingType	19	1	The Filing Type for the Initial Filing record will be returned.
				
				Values:
				    NonUCCFiling
				    TransmittingUtility
				    ManufacturedHome
				    PublicFinance
				    FederalLien
				    StateLien
				    JudgementLien
				    FederalEstateLien
				    PensionBenefitLien
				    AttachementLien
				    NOAltType
				
				Note:
				• *Value of NOAltType will be used for Financing Statement.*
				• *Value of NonUCCFiling will be used for Dairy Cattle Lien, Fish/Poultry Lien, Chemical/Seed Lien, Equipment Purchase Lien and LiveStock.*
					-	O/O	O/O

FileInRealEstate		-	0 or 1	*Note: California does not use this element.*	-	-	-
	Designation	-	1	*Note: California does not use this element.*	-	-	-
	RealEstateDescription	-	1	*Note: California does not use this element.*	-	-	-
	Names	-	1	*Note: California does not use this element.*	-	-	-
	OrganizationName	-	1	*Note: California does not use this element.*	**-**	**-**	**-**

				DOCUMENT SPECS - SEARCHES			
				FILEDETAIL			
Element Location	**Element**	Max Length	Occurrence	**Definition**	Search Certificate	Search Cert. With Copies	Specified Copies Only
	IndividualName	-	1	***Note:*** *California does not use this element.*	-	-	-
	LastName	-	1	***Note:*** *California does not use this element.*	-	-	-
	FirstName	-	1	***Note:*** *California does not use this element.*	-	-	-
	MiddleName	-	1	***Note:*** *California does not use this element.*	-	-	-
	Suffix	-	1	***Note:*** *California does not use this element.*	-	-	-
	MailAddress	-	1	***Note:*** *California does not use this element.*	-	-	-
	City	-	1	***Note:*** *California does not use this element.*	-	-	-
	State	-	1	***Note:*** *California does not use this element.*	-	-	-
	PostalCode	-	1	***Note:*** *California does not use this element.*	-	-	-
	County	-	1	***Note:*** *California does not use this element.*	-	-	-
	Country	-	1	***Note:*** *California does not use this element.*	-	-	-
	TaxID	-	1	***Note:*** *California does not use this element.*	-	-	-
	OrganizationalType	-	1	***Note:*** *California does not use this element.*	-	-	-
	OrganizatitonalJuris	-	1	***Note:*** *California does not use this element.*	-	-	-
	OrganizationalID	-	1	***Note:*** *California does not use this element.*	-	-	-
	Mark	-	1	***Note:*** *California does not use this element.*	-	-	-
MiscInfo	MiscInfo	36	1	***Note:*** *California does not use this element.*	-	-	-
CurrentName		-	0 or more	***Note:*** *California does not use this element.*	-	-	-
	OrganizationName	300	1	***Note:*** *California does not use this element.*	-	-	-
	IndividualName	-	1	***Note:*** *California does not use this element.*	-	-	-
	LastName	50	1	***Note:*** *California does not use this element.*	-	-	-

Element Location	Element	Max Length	Occurrence	Definition	Search Certificate	Search Cert. With Copies	Specified Copies Only
	FirstName	50	1	*Note: California does not use this element.*	-	-	-
	MiddleName	50	1	*Note: California does not use this element.*	-	-	-
	Suffix	40	1	*Note: California does not use this element.*	-	-	-
Debtors		-	1		O/O	O/O	-
	DebtorName	-	1 or more	CA SOS system will return all the Debtor Names associated with the Filing Number (UCC1 or UCC3) being returned	O/O	O/O	-
	Names	-	1	OrganizationName **or** Individual Name is required. *Note:* • *If OrganizationName is present, IndividualName must be blank.* • *If IndividualName is present, OriganizationName must be blank.*	O/O	O/O	-
	OrganizationName	300	1	Identifies the affected party in an Amendment. *Note: If the OrganizationName of a submitted XML contains one or more reserved characters, then the length of the OrganizationName in the returned XML may be greater than 300 characters.*	O/O	O/O	-
	IndividualName	-	1	If IndividualName is present, LastName is required FirstName, MiddleName, and Suffix are optional.	O/O	O/O	-
	LastName	50	1	Family name or surname of the Individual.	O/O	O/O	-
	FirstName	50	1	First given name of the Individual.	O/O	O/O	-
	MiddleName	50	1	All additional given names for an individual excluding the family name and the first given name	O/O	O/O	-
	Suffix	40	1	A title of lineage for an Individual	O/O	O/O	-

						Search Certificate	Search Cert. With Copies	Specified Copies Only
DOCUMENT SPECS - SEARCHES								
FILEDETAIL								
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**		**Search Certificate**	**Search Cert. With Copies**	**Specified Copies Only**
	MailAddress	110	1	Mailing Address of the designated party.		O/O	O/O	-
	City	50	1	City of the designated party.		O/O	O/O	-
	State	32	1	2 character US postal identification code. **Values:** 　See Appendix A – State Codes		O/O	O/O	-
	PostalCode	24	1	The postal code for the party		O/O	O/O	-
	County	-	1	*Note: California does not use this element.*		-	-	-
	Country	3	1	3 character Country Code of the party. **Values:** 　See Appendix B – Country Codes		O/O	O/O	-
	TaxID	-	1	*Note: California does not use this element.*		-	-	-
	OrganizationalType	50	1	*Note: California does not use this element.*		-	-	-
	OrganizationalJuris	24	1	*Note: California does not use this element.*		-	-	-
	OrganizationalID	54	1	*Note: California does not use this element.*		-	-	-
	Mark	-	1	*Note: California does not use this element.*		-	-	-
	DebtorAltCapacity	16	1	*Note: California does not use this element.*		-	-	-
Secured		**-**	**1**	CA SOS system will return all the Secured Party associated with the Filing Number (UCC1 or UCC3) being returned.		O/O	O/O	-

				DOCUMENT SPECS - SEARCHES			
				FILEDETAIL			
Element Location	**Element**	Max Length	Occurrence	**Definition**	Search Certificate	Search Cert. With Copies	Specified Copies Only
	Names	-	1 or more	OrganizationName **or** IndividualName is required. *Note:* • *If OrganizationName is present, IndividualName must be blank.* • *If IndividualName is present, OriganizationName must be blank.*	O/O	O/O	-
	OrganizationName	300	1	Identifies the affect party in an Amendment.	O/O	O/O	-
	IndividualName	-	1	If IndividualName is present, LastName is required FirstName, MiddleName, and Suffix are optional.	O/O	O/O	-
	LastName	50	1	Family name or surname of the Individual.	O/O	O/O	-
	FirstName	50	1	First given name of the Individual.	O/O	O/O	-
	MiddleName	50	1	All additional given names for an individual excluding the family name and the first given name	O/O	O/O	-
	Suffix	40	1	A title of lineage for an Individual	O/O	O/O	-
	MailAddress	110	1	Mailing Address of the designated party.	O/O	O/O	-
	City	50	1	City of the designated party.	O/O	O/O	-
	State	32	1	2 character US postal identification code. **Values:** See Appendix A – State Codes	O/O	O/O	-
	PostalCode	24	1	The postal code for the party	O/O	O/O	-
	County	-	1	*Note: California does not use this element.*	-	-	-

					DOCUMENT SPECS - SEARCHES			
					FILEDETAIL			
Element Location	**Element**	**Max Length**	**Occurrence**		**Definition**	**Search Certificate**	**Search Cert. With Copies**	**Specified Copies Only**
	Country	3	1		3 character Country Code of the party. **Values:** See Appendix B – Country Codes	O/O	O/O	-
	TaxID	-	1		*Note: California does not use this element.*	-	-	-
	OrganizationalType	-	1		*Note: California does not use this element.*	-	-	-
	OrganizationalJuris	-	1		*Note: California does not use this element.*	-	-	-
	OrganizationalID	-	1		*Note: California does not use this element.*	-	-	-
	Mark	-	1		*Note: California does not use this element.*	-	-	-
Assignor		**-**	0 or more		*Note: California does not use this element.*	-	-	-
	Names	**-**	1 or more		*Note: California does not use this element.*	-	-	-
	OrganizationName	300	1		*Note: California does not use this element.*	-	-	-
	IndividualName	**-**	1		*Note: California does not use this element.*	-	-	-
	LastName	50	1		*Note: California does not use this element.*	-	-	-
	FirstName	50	1		*Note: California does not use this element.*	-	-	-
	MiddleName	50	1		*Note: California does not use this element.*	-	-	-
	Suffix	40	1		*Note: California does not use this element.*	-	-	-
	MailAddress	110	1		*Note: California does not use this element.*	-	-	-
	City	50	1		*Note: California does not use this element.*	-	-	-
	State	32	1		*Note: California does not use this element.*	-	-	-
	PostalCode	24	1		*Note: California does not use this element.*	-	-	-

**DOCUMENT SPECS - SEARCHES**
**FILEDETAIL**
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**	**Search Certificate**	**Search Cert. With Copies**	**Specified Copies Only**
	County	-	1	***Note:*** *California does not use this element.*	-	-	-
	Country	3	1	***Note:*** *California does not use this element.*	-	-	-
	TaxID[4]	-	1	***Note:*** *California does not use this element.*	-	-	-
	OrganizationalType	-	1	***Note:*** *California does not use this element.*	-	-	-
	OrganizationalJuris	-	1	***Note:*** *California does not use this element.*	-	-	-
	OrganizationalID	-	1	***Note:*** *California does not use this element.*	-	-	-
	Mark	-	1	***Note:*** *California does not use this element.*	-	-	-
Collateral		**-**	1		O/O	O/O	-
	ColText	50K	0 or more	The value will be provided only for Electronic Filings where collateral is provided as text For paper filings no value will be returned.	O/O	O/O	-
	FSAProducts	**-**	0 or 1		-	-	-
	Name-Code	**-**	1 or more		-	-	-
	Years	**-**	1		-	-	-
	Year	-	1		-	-	-
	Counties	**-**	1		-	-	-
	County	-	1 or more		-	-	-

DOCUMENT SPECS - SEARCHES						
FILEDETAIL						
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**	**Search Certificate**	**Search Cert. With Copies**	**Specified Copies Only**
	Unit	-	1		-	-	-
	Quantity	-	1		-	-	-
	Location	-	1		-	-	-
	Description	-	1		-	-	-
	Attachment	**-**	0 or 1	*Note: California does not use this element.*	-	-	-
	MIMEType	8	1	*Note: California does not use this element.*			-
	TextData	unlimited	1	*Note: California does not use this element.*	-	-	-
AuthorizingParty		**-**	1 or more	*Note: California does not use this element.*	-	-	-
	AuthSecuredParty	**-**	0 or 1	*Note: California does not use this element.*	-	-	-
	OrganizationName	300	1	*Note: California does not use this element.*	-	-	-
	IndividualName	**-**	1	*Note: California does not use this element.*	-	-	-
	LastName	50	1	*Note: California does not use this element.*	-	-	-
	FirstName	50	1	*Note: California does not use this element.*	-	-	-
	MiddleName	50	1	*Note: California does not use this element.*	-	-	-
	Suffix	40	1	*Note: California does not use this element.*	-	-	-
	AuthDebtor	**-**	0 or 1	*Note: California does not use this element.*	-	-	-
	OrganizationName	300	1	*Note: California does not use this element.*	-	-	-
	IndividualName	**-**	1	*Note: California does not use this element.*	-	-	-
	LastName	50	1	*Note: California does not use this element.*	-	-	-
	FirstName	50	1	*Note: California does not use this element.*	-	-	-

DOCUMENT SPECS - SEARCHES							
FILEDETAIL							
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**	**Search Certificate**	**Search Cert. With Copies**	**Specified Copies Only**
	MiddleName	50	1	***Note:*** *California does not use this element.*	-	-	-
	Suffix	40	1	***Note:*** *California does not use this element.*	-	-	-
CopyImage			0 or more		-	O	O
	MIMEType	8	1	The copy image will be returned only for ResultType element value of Details and Both only. **Type:** 　　TIFF	-	O	O
	TextData	unlimited	1		-	O	O

9. XML Status Request and Return Receipt DTD

The following section describes each element and its application in detail for Status Request and Return receipt documents for the Automated Exchange process. The container elements are marked in bold and indicate that the data elements are made up of sub elements and will not contain data. The definition column also describes the attribute value of the element.

9.1 Detailed Status Request XML Document Specifications

The XML Status Request Document will be used by the customer's automated process to find out the status of an XML Document previously deposited for processing.

DOCUMENT					
Element Location	**Element**	Max Length	Occurrence	**Definition**	Usage
Header			1		
	Filer		1		
	ReturnURL		1	The web site address that the Return Receipt should be sent to if using the automated process. *Note: This ReturnURL will be used to Post the XML response once the Acknowledgement is ready.*	R
	ReturnUserId		1	The user ID that may be required for the return information.	R
	ReturnPWD		1	The password that may be required for the return information.	R
	PacketNum		1	A unique identifying number for the file transmitted via the XML document previously deposited. **Must be numeric.** *Note: Must be unique for each file submitted by a customer.*	R
Record			1		
	DocumentReceiptId		1	To receive the return status, both the DocumentReceiptId and PacketNum values need to be provided.	R
	SubmitterRef		1		O
	Status		1		
	StatusDate		1		

9.2   Detailed Return Receipt XML Document Specifications

The XML Return Receipt Document will be returned by the CA SOS system when an XML document or an XML Status Request is received from a customer's automated application.

DOCUMENT					
Element Location	**Element**	**Max Length**	**Occurrence**	**Definition**	**Usage**

XMLVersion	XMLVersion Attribute: Info		1	The Status of the XML document after being received by the BPA Solution.
				
				Info:
				    06232003 (Default)
				    07192003	

Header			1		
	Date		1		O
Record			1		R
	PacketNum		0 or 1	The unique identifying number for the file transmitted via the XML document previously deposited. **Must be numeric.** *Note: Must be unique for each file submitted by a customer.*	O
	SeqNumber		0 or 1	Unique sequential number identifying the record. **Must be numeric.** *Note: Must be unique for each filing in the document.*	O
	DocumentReceiptId		1	The value will be supplied by the CA SOS Filing Office to uniquely identify the XML document deposited for processing. The DocumentReceiptId will be used to inquire on the status of a XML document transmitted earlier. When a status is requested, then this element will contain the DocumentReceiptId passed on the requesting URL	R/O
	SubmitterRef		1		

	Status		1	The Status of the XML document after being received by the CA SOS system.
				
				Value:
				    OK (Default)
				    InvalidXML
				    SendingACK
				    InProcess
				    EmptyDocument
				    IDNotFound
					R/O

	StatusDate		1		

10. Appendix A - State Codes

State Code	State Name	Country
AA	Armed Forces Americas, except Canada.	USA
AB	Alberta	CAN
AE	Armed Forces Europe, the Middle East, & Canada.	USA
AK	Alaska	USA
AL	Alabama	USA
AP	Armed Forces Pacific	USA
AR	Arkansas	USA
AS	American Samoa	USA
AZ	Arizona	USA
BC	British Columbia	CAN
CA	California	USA
CO	Colorado	USA
CT	Connecticut	USA
DC	District of Columbia	USA
DE	Delaware	USA
FL	Florida	USA
FM	Federated States of Micronesia	USA
GA	Georgia	USA
GU	Guam	USA
HI	Hawaii	USA
IA	Iowa	USA
ID	Idaho	USA
IL	Illinois	USA
IN	Indiana	USA
KS	Kansas	USA
KY	Kentucky	USA
LA	Louisiana	USA
MA	Massachusetts	USA
MB	Manitoba	CAN
MD	Maryland	USA
ME	Maine	USA
MH	Marshall Islands	USA
MI	Michigan	USA
MN	Minnesota	USA
MO	Missouri	USA
MP	Northern Mariana Islands	USA
MS	Mississippi	USA
MT	Montana	USA
NB	New Brunswick	CAN

State Code	State Name	Country
NC	North Carolina	USA
ND	North Dakota	USA
NE	Nebraska	USA
NL	Newfoundland and Labrador	CAN
NH	New Hampshire	USA
NJ	New Jersey	USA
NM	New Mexico	USA
NN	Commonwealth of Northern Mariana Islands	USA
NS	Nova Scotia	CAN
NT	Northwest Territories	CAN
NU	Nunavut	CAN
NV	Nevada	USA
NY	New York	USA
OH	Ohio	USA
OK	Oklahoma	USA
ON	Ontario	CAN
OR	Oregon	USA
PA	Pennsylvania	USA
PE	Prince Edward Island	CAN
PQ	Province of Quebec (Alternate for 'QC')	CAN
PR	Puerto Rico	USA
PW	Palau	USA
QC	Quebec	CAN
RI	Rhode Island	USA
SC	South Carolina	USA
SD	South Dakota	USA
SK	Saskatchewan	CAN
TN	Tennessee	USA
TX	Texas	USA
UT	Utah	USA
VA	Virginia	USA
VI	Virgin Islands	USA
VT	Vermont	USA
WA	Washington	USA
WI	Wisconsin	USA
WV	West Virginia	USA
WY	Wyoming	USA
YT	Yukon Territory	CAN

11. Appendix B - Country Codes

The Country Codes are based on ISO standard 1366. Some modifications have been made to accommodate countries not included in ISO 1366. These are indicated by a double asterisk, "**".

Country Code	Country Description
ABW	Aruba
AFG	Afghanistan
AGO	Angola
AIA	Anguilla
ALB	Albania
AND	Andorra
ANT	Netherlands Antilles
ARE	United Arab Emirates
ARG	Argentina
ARM	Armenia
ASM	American Samoa
ATA	Antarctica
ATF	French Southern Territories
ATG	Antigua and Barbuda
AUS	Australia
AUT	Austria
AZE	Azerbaijan
BDI	Burundi
BEL	Belgium
BEN	Benin
BFA	Burkina Faso
BGD	Bangladesh
BGR	Bulgaria
BHR	Bahrain
BHS	Bahamas
BIH	Bosnia and Herzegovina
BLR	Belarus
BLZ	Belize
BMU	Bermuda
BOL	Bolivia
BRA	Brazil
BRB	Barbados
BRN	Brunei Darussalam
BTN	Bhutan
BVT	Bouvet Island
BWA	Botswana
BWI	** British West Indies

Country Code	Country Description
CAF	Central African Republic
CAN	Canada
CHE	Switzerland
CHL	Chile
CHN	China
CIV	Cote D'Ivoire
CMR	Cameroon
COD	Democratic Republic of Congo (was Zaire)
COG	People's Republic of Congo
COK	Cook Islands
COL	Columbia
COM	Comoros
CPV	Cape Verde
CRI	Costa Rica
CUB	Cuba
CXR	Christmas Island
CYM	Cayman Islands
CYP	Cyprus
CZE	Czech Republic
DEU	Germany
DJI	Djibouti
DMA	Dominica
DNK	Denmark
DOM	Dominican Republic
DZA	Algeria
ECU	Ecuador
EGY	Egypt
ERI	Eritrea
ESH	Western Sahara
ESP	Spain
EST	Estonia
ETH	Ethiopia
FIN	Finland
FJI	Fiji
FLK	Falkland Islands (Malvinas)
FRA	France
FRO	Faeroe Islands
FSM	Micronesia
GAB	Gabon
GBC	**Channel Islands
GBG	**Guernsey
GBI	**Isle of Man
GBR	United Kingdom

Country Code	Country Description
GEO	Georgia
GHA	Ghana
GIB	Gibraltar
GIN	Guinea
GLP	Guadeloupe
GMB	Gambia
GNB	Guinea-Bissau
GNQ	Equatorial Guinea
GRC	Greece
GRD	Grenada
GRL	Greenland
GTM	Guatemala
GUF	French Guiana
GUM	Guam
GUY	Guyana
HKG	Hong Kong Special Administrative Region of China
HMD	Heard and McDonald Islands
HND	Honduras
HRV	Croatia
HTI	Haiti
HUN	Hungary
IDN	Indonesia
IND	India
IOT	British Indian Ocean Territory
IRL	Ireland
IRN	Iran
IRQ	Iraq
ISL	Iceland
ISR	Israel
ITA	Italy
JAM	Jamaica
JOR	Jordan
JPN	Japan
KAZ	Kazakhstan
KEN	Kenya
KGZ	Kyrgyzstan
KHM	Cambodia
KIR	Kiribati
KNA	Saint Kitts and Nevis
KOR	Republic of Korea
KWT	Kuwait
LAO	Lao People's Democratic Republic
LBN	Lebanon
LBR	Liberia

Country Code	Country Description
LBY	Libyan Arab Jamahiriya
LCA	Saint Lucia
LIE	Liechtenstein
LKA	Sri Lanka
LSO	Lesotho
LTU	Lithuania
LUX	Luxemborg
LVA	Latvia
MAC	Macao
MAR	Morocco
MCO	Monaco
MDA	Moldova
MDG	Madagascar
MDV	Maldives
MEX	Mexico
MHL	Marshall Islands
MKD	The former Yugoslav Republic of Macedonia
MLI	Mali
MLT	Malta
MMR	Myanmar
MNG	Mongolia
MNP	Northern Mariana Islands
MOZ	Mozambique
MRT	Mauritania
MSR	Montserrat
MTQ	Martinque
MUS	Mauritius
MWI	Malawi
MYS	Malaysia
MYT	Mayotte
NAM	Namibia
NCL	New Caledonia
NER	Niger
NFK	Norfolk Island
NGA	Nigeria
NIC	Nicaragua
NIU	Niue
NLD	Netherlands
NOR	Norway
NPL	Nepal
NRU	Nauru
NZL	New Zealand
OMN	Oman
PAK	Pakistan

Country Code	Country Description
PAN	Panama
PCN	Pitcairn
PER	Peru
PHL	Philippines
PLW	Palau
PNG	Papua New Guinea
POL	Poland
PRI	Puerto Rico
PRK	Democratic People's Republic of Korea
PRT	Portugal
PRY	Paraguay
PSE	Palestinian Territory
PYF	French Polynesia
QAT	Qatar
REU	Reunion
ROU	Romania
RUS	Russian Federation
RWA	Rwanda
SAU	Saudi Arabia
SCG	Serbia and Montenegro
SCO	**Scotland
SDN	Sudan
SEN	Senegal
SGP	Singapore
SGS	South Georgia and the Ssouth Sandwich Islands
SHN	St. Helena
SJM	Svalbard and Jan Mayen Islands
SLB	Solomon Islands
SLE	Sierra Leone
SLV	El Salvador
SVN	Slovenia
SMR	San Marino
SOM	Somalia
STP	Sao Tome and Principe
SUR	Suriname
SVK	Slovakia
SVN	Slovenia
SWE	Sweden
SWZ	Swaziland
SYC	Seychelles
SYR	Syrian Arab Republic
TCA	Turks and Caicos Islands
TCD	Chad
TGO	Togo

Country Code	Country Description
THA	Thailand
TJK	Tajikistan
TKL	Tokelau
TKM	Turkmenistan
TLS	East Timor
TON	Tonga
TTO	Trinidad and Tobago
TUN	Tunisia
TUR	Turkey
TUV	Tuvalu
TWN	Taiwan
TZA	Tanzania
UGA	Uganda
UKR	Ukraine
UMI	United States Minor Outlying Islands
URY	Uruguay
USA	United States of America
UZB	Uzbekistan
VAT	Vatican City State (Holy See)
VCT	Saint Vincent and the Grenadines
VEN	Venezuela
VGB	British Virgin Islands
VIR	United States Virgin Islands
VNM	Viet Nam
VUT	Vanuatu
WLF	Wallis and Futuna Islands
WSM	Samoa
YEM	Yemen
ZAF	South Africa
ZMB	Zambia
ZWE	Zimbabwe
ZZZ	Other Country

UCC XML IMPLEMENTATION GUIDE

12. Appendix C: XML File Refusal Error Messages

This section contains the XML file refusal error messages for Filings, Orders and Searches.

Error Code	Refusal Error Message
CA001	The Customer Account number used to upload the XML file is different from that provided in the XML file.
CA002	The XML file in unreadable.
CA003	The version of the XML file provided is different than the acceptable version.
CA004	The XML file is inconsistent with the DTD.
CA005	The payment method of ACH has not been approved yet. Therefore the file has been rejected.
CA006	The Length of Data was more than the allowed value.
CA007	The Customer Account provided is in Suspended/Delinquent status.
CA008	The Organization Name or Individual Last Name was not provided.
CA009	The Customer Account number was not provided.
CA010	The Contact Email was not provided.
CA011	The Packet Number is mandatory for the XML file.
CA012	The test XML file cannot be processed in the production system.
CA013	No transactions were provided in the XML file.
CA014	Duplicate Packet Number.
CA015	Please sign the UCC Data and Images Agreement.
CA016	The XML system is under maintenance.

13. Appendix D: XML Rejection Error Messages

This section contains the rejection error messages for Filings, Orders and Searches.

Error Code	Rejection Error Messages
AA01	Failure to provide a name for the Assignee..
AA02	Failure to provide a mailing address for the Assignee.
AA03	Failure to indicate whether the Debtor is an Individual or an Organization.
AC01	Failure to file within the prior to lapse six-month window.
CA100	The Sequence Number is a duplicate number in the XML transmittal.
CA101	Invalid Amendment Type provided. A value of NoType for Amendment Type is permitted only for the Initial Filing.
CA102	Invalid Amendment Action provided for "AmendmentCollateral" AmendmentType. The values allowed for Amendment Action are "CollateralAdd", "CollateralChange", "CollateralDelete", "CollateralRestate" or "CollateralAssign".
CA103	Invalid Amendment Action provided for "AmendmentParties" AmendmentType. The values allowed for AmendmentParties are "DebtorAdd", "DebtorChange", "DebtorDelete", "SecuredPartyAdd", "SecuredPartyChange" and "SecuredPartyDelete"
CA104	Invalid Amendment Action provided for "Continuation" AmendmentType. The value allowed for Continuation is NoAction.
CA105	Invalid Amendment Action provided for "TerminationDebtor" AmendmentType. The value allowed for "TerminationDebtor" is NoAction.
CA106	Invalid Amendment Action provided for "TerminationSecuredParty" AmendmentType. The value allowed for "TerminationSecuredParty" is NoAction.
CA107	The Initial Filing Number does not exist in the system
CA108	The Initial Filing Number has lapsed.
CA109	The Continuation is outside the continuation window.
CA110	For an Initial Filing, this value is not acceptable for the State of California.
CA111	For Amendment Action of Party Delete or Party Change, the current Organization Name or the Last Name is mandatory.
CA112	For Amendment Action of Debtor Change, only one Debtor name can be provided.
CA113	For Amendment Action of Secured Party Change, only one Secured Party name can be provided.
CA114	For Amendment Action of Secured Party Add, Delete or Change, the Organization Name or the Last Name, Address, City, State and Country are mandatory.
CA115	The "From" date should be less than or equal to today's date.
CA116	Filing Type is not allowed in XML.
CA117	Failure to provide Organizational Name or Last Name; and Address, City, State, Country
CA118	All Organizational fields are mandatory.
CA119	At least one Organizational field is mandatory.
CA120	At lease one Debtor is required.
CA121	At least one Secured Party is required.
CA122	Insufficient funds available for processing the filing
CA123	Invalid combination of Amendment type and Amendment Action
CA124	Collateral Text or Attachment should be mandatory.

Error Code	Rejection Error Messages
CA125	Authorizing Party validation failed.
CA126	Validation for valid current name failed.
CA127	Failure to provide City, State, and Country for the Debtor.
CA128	Failure to provide City, State and Country for the Secured Party.
CA129	Failure to provide City, State and Country for the Assignor.
CA130	Failure to provide Organization Name or Individual Last Name.
GA01	Failure to identify a file number of an initial financing statement to which it relates.
GA02	Failure to provide an active file number to which it relates.
GF02	Failure to provide sufficient fees.
GF03	Failure to provide name of Debtor.
GF04	Failure to indicate whether the Debtor is an individual or an organization.
GF05	Failure to provide last name of Debtor, if identified as in individual.
GF06	Failure to provide organizational information for Debtor, if identified as an organization.
GF07	Failure to provide a mailing address for the Debtor.
GF08	Failure to provide a name for the Secured Party.
GF09	Failure to provide a mailing address for the Secured Party.
GF10	Other

14. Appendix E: UCC Testing Agreement

(see next page)

UCC CONNECT TESTING AGREEMENT

Between the California Secretary of State, hereinafter referred to as the SOS, and Customer (identified in the signature block at the end of this agreement) for Customer's participation in the testing of the California Uniform Commercial Code System.

A.   Purpose

The purpose of this Testing Agreement is to identify and agree to the activities that SOS and Customer will undertake as parties in the testing of the California Uniform Commercial Code (UCC) automated system (the "System").

B.   Scope

The SOS has developed a System that enables customers to electronically file documents, order certified and non-certified copies, and request and receive information from the SOS in electronic format. The following activities are subject to this agreement:

- Web Filings and Requests
- Filings and Requests in XML and ASCII formats, including uploads and downloads
- Filings and Requests using Automated Exchange
- Bulk Order activities including requesting and receiving data over the web. Images cannot be received over the web, but SOS will provide a sample CD of both data and images to assist Customer in testing enhanced functionality at their end to allow their application to upload/import Bulk Order outputs generated by the SOS.

C.   Testing

SOS will provide the opportunity for Customer to test system functionality. For those who wish to test their systems, the following provisions shall apply:

- SOS will provide a testing environment for Customer containing a subset of SOS records that are deliberately limited and altered for the purposes of testing.

- SOS will provide Customer with the following confidential information to be used for testing purposes only: URL for testing environment, Customer Account # and Password.

- As this information is made available strictly for testing purposes, the SOS specifically, in producing the data and/or images, disclaims any liability for the accuracy of any of the information contained therein.

- Customer will not download, copy, reproduce or use for financial gain any or all of the data and/or images accessed from the SOS during the testing phase.

- SOS reserves the right to monitor customer accounts provided for testing in order to determine if any unusual activity is taking place that may lead the State to construe the Customer is "mining" data for purposes other than to test the system. If the SOS detects suspicious activity, the SOS reserves the right to terminate the Customer Account without notice.

- Customer agrees to indemnify, defend and hold harmless the State of California, SOS or any of their not defined officers, agents and employees from any and all claims and losses accruing or resulting to any and all persons, firms associations or any other business entities as a direct result of the interactive exchange of information between the Customer's IT system and the SOS IT system, if caused by actions of or activity on the Customer's IT system.

- The SOS makes no claims, promises, or guarantees about the absolute accuracy, completeness, or adequacy of the contents of the media furnished through the System. Further, while the SOS will attempt to ensure the integrity and security of the media, it provides no guarantee that the media and its contents are free of components that could be harmful or interfere in the performance of the products and services of the Customer.

- From time to time, information for testers will be circulated by the SOS, either by email, fax, or by posting on the SOS website in a password-protected area accessible only by Customers who have signed this Agreement to be testers and have been issued the necessary username and password.

D.   Financial Arrangements

There will be no charge by SOS to Customer for testing the System. Customer agrees to bear the out of pocket costs of testing the System, including the time of Customer's staff, ISP or telecommunications charges, and hardware and software costs. SOS will not pay Customer to test, but offers its appreciation for Customer's participation in improving service through the System.

Neither the SOS nor its contractors are obligated to provide technical outreach or training, however, the parties may work together to resolve any technical issues that arise in the uploading, transfer, downloading and reconciliation of the data and records to and from the SOS.

E. Points of Contact

The following individuals have been identified as points of contact within SOS and Customer:

	Customer Information:	**Secretary of State Information:**
Company Name:		CA SOS
Contact Name:		UCC Support Center
Phone Number:		916-651-9885
Email Address:		ucconnect@sos.ca.gov
Mailing Address:		UCC Support Center 1500 11th Street Sacramento, CA 95814

F. Length of Testing Period

A set time period for the testing phase is not defined. The SOS will provide notification to Customer if and when the testing phase ends.

G. Approvals

IN WITNESS WHEREOF, the parties have executed this Agreement on the day and year provided below.

Please Type or Print The Following:

OFFICE OF THE SECRETARY OF THE STATE
1500 11th Street
Sacramento, CA 95814

[*Customer Business Name*]
[*Address*]
[*City, State, ZIP*]

By:_____

[*Print name*], [*Title*]
California Secretary of State

By:_____

[*Print name*], [*Title*]

_____
Signature

_____
Signature

_____
Date

_____
Date

15. Appendix E: UCC Data and Images Agreement

(see next page)

UCC DATA AND IMAGES AGREEMENT

SECTION 1: SUMMARY INFORMATION

A.   Points of Contact
The following individuals have been identified as points of contact within the Secretary of State and the Customer:

(Please fill-in table)

	Customer Information:	**Secretary of State Information:**
Company Name:		CA SOS
Contact Name:		UCC Support Center
Phone Number:		916-651-9885
Email Address:		uccconnect@sos.ca.gov
Mailing Address:		UCC Support Center 1500 11th Street Sacramento, CA 95814

B.   For Secretary of State Use Only

Customer Account #:		
	Yes/No	**Document #**
XML Filer:		N/A
Bulk Order Master Data:		
Bulk Order Master Images:		
Subscription Data:		
Subscription Images:		

UCC DATA AND IMAGES AGREEMENT

Between the California Secretary of State, hereinafter referred to as the SOS, and Customer (identified in the signature block at the end of this agreement) for their participation in the exchange of data and images as part of the California Uniform Commercial Code System.

SECTION 2: GENERAL

A.   Purpose

The purpose of this Agreement is to identify and agree to the activities that SOS and Customer will undertake in the exchange of data and images as part of the California Uniform Commercial Code (UCC) System.

B.   Scope

The SOS has developed a System that enables customers to electronically conduct transactions.

The following activities are subject to this agreement:
*   Web Filings and Requests
*   Filings and Requests in XML and ASCII formats, including uploads and downloads
*   Filings and Requests using Automated Exchange
*   Bulk Order activities including requesting and receiving data over the web, via CD and/or external hard drive.

Please refer to the *Bulk Order Implementation Guide* for greater detail regarding the bulk order options.   Please refer to the *XML Implementation Guide* for information regarding the XML process and implementation.

C.   General Provisions regarding data and images provided by the SOS
*   Access to the data will be made available through the SOS web site at https://www.uccconnect.sos.ca.gov. Data and images will be exchanged using the options of the Internet, CD or external hard drive.

*   Customer is responsible for all activities undertaken by its employees or officers when using any services provided by the SOS. All such activities are at Customer's own risk.

*   SOS and Customer shall provide data consistent with the standards and formats described in the XML Implementation Guide and the Bulk Order Implementation Guide.

*   Nothing herein contained shall be construed to limit the power of SOS to sell copies of the data and/or images, as SOS selects, provided the price charged for equivalent data and/or images is the same for all Customers.

*   SOS warrants and represents that the data and/or images to be supplied to the Customer is public record information, and that this Agreement does not violate any right, title, or interest of any third person or entity whatsoever.

*   SOS represents and warrants that the data and/or images supplied to the Customer pursuant to this agreement is in the public domain, and therefore is not subject to copyright protection. The Customer, upon purchase and receipt of the information, shall have the right to

reproduce, distribute, display, or otherwise use the information for any purpose except as limited by the terms of this Agreement.

- The Customer shall not transfer, sell, or assign this Agreement, or any right or privilege given thereunder to any other person, firm, association or any other business entity.   Any transfer or attempted transfer, sale or assignment shall render this Agreement thereafter null and void and of no force and effect, and shall forever discharge the SOS from any obligation or liability hereunder, including but not limited to, any refund.

- SOS, in producing the data and/or images, disclaims any liability for the accuracy of any of the information contained therein.

- The data and/or images are produced and sold for general information purposes only, and are not to be construed as having the legal effect of a certified copy or an official certification of filing by SOS.

- Customer agrees to indemnify, defend and hold harmless the State of California, SOS or any of their not defined officers, agents and employees from any and all claims and losses accruing or resulting to any and all persons, firms associations or any other business entities as a direct result of errors or omissions introduced into the data and/or images by the Customer and resulting from the Customer's dissemination of any or all of the information contained in the data and/or images.

- It is mutually understood and agreed that no alteration of the terms of this Agreement shall be valid unless made in writing and signed by the parties hereto and that no oral understanding or agreements not incorporated herein and no alteration or variations of the terms hereof unless made in writing between the parties shall be binding on either party.

D.   Security

Security will be maintained by each Party to adequately ensure the integrity and accuracy of the data is maintained. To ensure that the information exchanged between Customer and SOS is secured, the SOS has ensured that the URL used for automated exchange to XML will send documents over Secured Socket Layer (SSL).

The Customer will develop their custom application for Automated Exchange to encrypt the Customer ID and Password using HTTP encode. The SOS automated process will then decode the Customer ID and Password for validation purposes.

E.   Resource Responsibilities

SOS and Customer are responsible for securing the resources required to meet the requirements of this agreement. SOS and Customer are responsible for negotiating an exchange of data and/or images to address any financial requirements associated with any such exchange.

SOS and Customer are responsible for their own costs and resources identified as being needed to ensure a successful transfer of data between each others information systems, and in reconciling data quality issues that arise from the data integration.

F. **Period of Agreement and Termination**
The term of this Agreement is from July 1st through June 30th of the fiscal year. Subscription can be continued each fiscal year by placing a new bulk order request and the payment of the associated fees. The terms of this agreement remain in effect until cancelled or changed by the SOS or Customer. Either party may terminate this Agreement by notifying the other party with thirty (30) days written notice. If SOS terminates this Agreement, SOS will refund Customer's money on a pro rata basis based on the remaining time of the yearly contract.

SECTION 3: ELECTRONIC FILINGS AND ORDERS

A.   **Services:**
Following services are available from the SOS:

Online filing and orders via UCC Connect
A Customer account will be web-enabled to allow Customer to commence filing and placing orders (certified or non-certified copies) over the internet using the SOS web site, UCC Connect.

Online filing and orders via UCC Connect using XML functionality
A Customer account will be web-enabled to allow Customer to commence filing over the internet using the SOS web site, UCC Connect. The upload page will allow customers to select a file from their PC that has been formatted as an XML document that contains UCC filings or orders. Customer will upload the XML document and submit this file to the SOS for processing.

Automated Exchange
Customer will create an application that will be used to submit the XML document to the SOS. SOS will send the XML acknowledgement document to the customer via their application. The design and implementation of the application will be the responsibility of the customer.

B.   **Consideration and Payment**
In accordance with the California Uniform Commercial Code, the SOS has adopted specific filing forms with associated filing fees.

Customer agrees to pay the fees for each transaction as provided in the fee schedule published on the California SOS Business Portal, http://www.sos.ca.gov. The fees may be increased or decreased by formal action of the SOS.

Customer agrees that payment for transaction fees will be in the form of a pre-paid customer account, a credit card, or automated clearing house (ACH). To pay by customer account or ACH, customer must have a funded account already established with the SOS. Customer accounts must be funded in order to use the account as a payment method for web-based services. Funds can be added to the account via a valid credit card at any time using the *Account Maintenance Menu* of UCC Connect.   A customer can also fund their Customer Account using a personal/business check, or money order at the UCC Counter or through the mail.

Failure of Customer to remit payment or any insufficiency of funds for an automatic electronic transfer under this section shall be considered a breach of this agreement by Customer and grounds for immediate termination of this agreement by SOS as provided herein.

SECTION 4: BULK ORDERS

A.   **Services:**
Customers have the option to request bulk data records, TIFF images of documents or both. The Bulk Order can be for a one-time purchase or a subscription where the frequency can be specified. Depending on the type of records being purchased, specific formats, delivery and receipt options as well as the media can also be requested. Customers have the option to

receive these records in either ASCII (American Standard Code for Information Interchange) or eXtensible Markup Language (XML). Depending upon the type and format of the information requested, delivery from the SOS to the customer can be via the internet, CD or USB drive (master unload images only). Following services are available from the SOS:

Bulk Order for Data

- o Master Unload (this is a complete copy of all current records—unlapsed and lapsed)

- o Daily subscription (this is a collection of transactions processed for one day, through to midnight)

Bulk Order for Images

- o Master Unload (this is a complete copy of all current images—unlapsed and lapsed)

- o Daily subscription (this is a collection of images of transactions processed for one day, through to midnight)

Bulk Order Request for both Data and Images

- o Master

- o Daily subscription

B.   Consideration and Payment
Customer agrees to pay the fees as provided in the following fee schedule. Note that fees are subject to change.

Bulk Order Type	*Annual*
Subscription – Data	$2, 700.00
Subscription – Images	$3, 700.00
Subscription – Data & Images	$4, 300.00
Bulk Order Type	*One-Time (or As-Needed)*
Master Unload – Data	$100.00
Master Unload – Images	$800.00
Master Unload – Data & Images	$900.00

Customer agrees that payment for bulk orders will be in the form of a pre-paid customer account, a credit card, or automated clearing house (ACH). To pay by customer account or ACH, customer must have a funded account already established with the SOS. Customer accounts must be funded in order to use the account as a payment method for web-based services. Funds can be added to the account via a valid credit card at any time using the *Account Maintenance Menu* of UCC Connect.   Customer can also fund the Customer Account using a personal/business check, or money order at the UCC Counter or through the mail.

Customer agrees to remit payment in advance. Each May, the SOS will review the contract to ensure sufficient funds are available to cover the cost for the bulk orders provided by this agreement.

The customer agrees to advance any additional funds necessary to continue receiving bulk orders through the end of the contract period. Failure to advance the additional funds will relieve the SOS from any and all obligation to produce the information provided to be sold in Section 4 of this agreement, immediately upon the date of such failure. Reinstatement of service, in the event of failure, as specified in this section, shall be subject to terms, conditions and guarantees acceptable to the State.

Nothing in this section shall be construed to require notice by the State to the Customer.

SECTION 5: APPROVALS

IN WITNESS WHEREOF, the parties have executed this Agreement on the day and year provided below.

CALIFORNIA SECRETARY OF STATE
1500 11th Street
Sacramento, CA 95814

[*Customer Name*
Address
City, State, ZIP]

By:_____

      [*Print name*], Title
      California Secretary of State

By:_____

      [*Print name*], Title

_____
            Signature

_____
            Signature

_____
        Date

_____
        Date